

# Exhibit 1

COUNTY OF SUFFOLK ANNUAL BUDGET									
2010		2011		2011		2012		2012	
ACTUAL	ADOPTED	ESTIMATED	Suffolk County Ethics Commi		MANDATED 'M'	REQUESTED	RECOMMENDED	ADOPTED	
0	212,200	152,228	Suffolk County Ethics Commission			222,221	207,852	0	
0	212,200	152,228	001 - COE - 1120 - SUFFOLK COUNTY ETHICS COMMISSION			222,221	207,852	0	
0	132,200	117,228	1 000 PERSONAL SERVICES			143,421	135,052	0	
0	0	952	1080 0000 - RETRO & VACATION PAY			0	0	0	
0	132,200	116,276	1100 0000 - PERMANENT SALARIES			143,421	135,052	0	
0	0	0	3 000 SUPPLIES, MATERIAL & OTHER EXP			2,800	2,800	0	
0	0	0	3010 0000 - OFFICE SUPPLIES			1,500	1,500	0	
0	0	0	3510 0000 - RENT: BUSINESS MACHINES & SYS			1,300	1,300	0	
0	80,000	35,000	4 000 CONTRACTUAL EXPENSES			76,000	70,000	0	
0	80,000	35,000	4560 0000 - FEES FOR SERVICES: NON-EMPLOY.			76,000	70,000	0	

COUNTY OF SUFFOLK  
ANNUAL BUDGET  
AUTHORIZED STAFF


DEPARTMENT COUNTY ETHICS COMMISSION  
FUND GENERAL FUND  
FUNCTION JUDICIAL






POSITION TITLE	GR	2011 MODIFIED	2012 REQUESTED	2012 RECOMMENDED	2012 ADOPTED
TOTAL PERMANENT POSITIONS: ALL FUNDS		2	2	2	
TOTAL PERMANENT POSITIONS: GENERAL FUND		2	2	2	
01-1120-SUFFOLK COUNTY ETHICS COMMISSION		2	2	2	
0100-SUFFOLK COUNTY ETHICS COMMISSION		2	2	2	
DIR OF SUFFOLK CTY ETHICS COMM	25	1	1	1	
SECRETARY	17	1	1	1	
TOTAL COST OF POSITIONS			\$135,827	\$135,827	
PLUS SALARY ADJUSTMENT			6,225	6,225	
PLUS NEW POSITIONS			0	0	
PLUS TRANSFERS IN			0	0	
LESS ABOLISHED POSITIONS			0	0	
LESS TRANSFERS OUT			0	0	
LESS ESTIMATED TURNOVER SAVINGS			0	7,000-	
OTHER ADJUSTMENTS			1,369+	0+	
NET APPROPRIATION			\$143,421	\$135,052	

# Exhibit 2

**Expense Budget: Level 3**[Menu](#) [Quick Search](#)

BFY	Fund	Department	Budget Type	Unit	Object	Activity	Current Budget	Encumbered	Actual Expenses	Unobligated
✓ 2013	001	COE	DE	1120	1020	0000	\$0.00	\$0.00	\$0.00	\$0.00
2013	001	COE	DE	1120	1080	0000	\$0.00	\$0.00	\$0.00	\$0.00
2013	001	COE	DE	1120	1100	0000	\$147,500.00	\$0.00	\$703.20	\$146,796.80
2013	001	COE	DE	1120	1380	0000	\$0.00	\$0.00	\$0.00	\$0.00
2013	001	COE	DE	1120	2010	0000	\$0.00	\$0.00	\$0.00	\$0.00
2013	001	COE	DE	1120	2020	0000	\$0.00	\$0.00	\$0.00	\$0.00
2013	001	COE	DE	1120	3010	0000	\$1,500.00	\$0.00	\$0.00	\$1,500.00
2013	001	COE	DE	1120	3020	0000	\$1,000.00	\$0.00	\$0.00	\$1,000.00


[First](#) [Prev](#) [Next](#) [Last](#)[Search](#) **▼ Budget Actual**






<u>Purchase Reservations:</u>	<input type="text" value="\$0.00"/>		<u>Uncommitted:</u>	<input type="text" value="\$0.00"/>
<u>Pre-Encumbered:</u>	<input type="text" value="\$0.00"/>		<u>Unobligated:</u>	<input type="text" value="\$0.00"/>
<u>Encumbered:</u>	<input type="text" value="\$0.00"/>		<u>Unexpended:</u>	<input type="text" value="\$0.00"/>
<u>Accrued Expenses:</u>	<input type="text" value="\$0.00"/>			
<u>Disbursed Expenses:</u>	<input type="text" value="\$0.00"/>			
<u>Actual Expenses:</u>	<input type="text" value="\$0.00"/>			

**► Budget Amounts****► General Information**[Top](#)[Modified Budget Line Controls](#) [Previous Level](#) [Next Level](#) [Back to Budget Prep](#)

**Expense Budget: Level 3**[Menu](#) [Quick Search](#)

	BFY	Fund	Department	Budget Type	Unit	Object	Activity	Current Budget	Encumbered	Actual Expenses	Unobligated
✓	2013	001	COE	DE	1120	3070	0000	\$0.00	\$0.00	\$0.00	\$0.00
	2013	001	COE	DE	1120	3080	0000	\$0.00	\$0.00	\$0.00	\$0.00
	2013	001	COE	DE	1120	3100	0000	\$3,000.00	\$0.00	\$0.00	\$3,000.00
	2013	001	COE	DE	1120	3510	0000	\$2,170.00	\$0.00	\$0.00	\$2,170.00
	2013	001	COE	DE	1120	4340	0000	\$6,000.00	\$0.00	\$0.00	\$6,000.00
	2013	001	COE	DE	1120	4560	0000	\$126,500.00	\$0.00	\$0.00	\$126,500.00

[First](#) [Prev](#) [Next](#) [Last](#)Search ▼ **Budget Actual**

<u>Purchase Reservations:</u>	<input type="text" value="\$0.00"/>		<u>Uncommitted:</u>	<input type="text" value="\$0.00"/>
<u>Pre-Encumbered:</u>	<input type="text" value="\$0.00"/>		<u>Unobligated:</u>	<input type="text" value="\$0.00"/>
<u>Encumbered:</u>	<input type="text" value="\$0.00"/>		<u>Unexpended:</u>	<input type="text" value="\$0.00"/>
<u>Accrued Expenses:</u>	<input type="text" value="\$0.00"/>			
<u>Disbursed Expenses:</u>	<input type="text" value="\$0.00"/>			
<u>Actual Expenses:</u>	<input type="text" value="\$0.00"/>			

▢ **Budget Amounts**▢ **General Information**[Top](#)[Modified Budget Line Controls](#) [Previous Level](#) [Next Level](#) [Back to Budget Prep](#)

# Exhibit 3

Introduced by Presiding Officer Lindsay

**RESOLUTION NO. 157 -2012, APPOINTING MEMBER OF  
SUFFOLK COUNTY BOARD OF ETHICS (THOMAS A. ISLES)**

**WHEREAS**, Local Law No. 56-2011 established a new Suffolk County Board of Ethics to administer and enforce the County's conflict of interest and disclosure rules, effective March 27, 2012; and

**WHEREAS**, pursuant to Local Law No. 56-2011, the Presiding Officer of the County Legislature appoints one (1) member of the Board of Ethics, subject to legislative approval; and

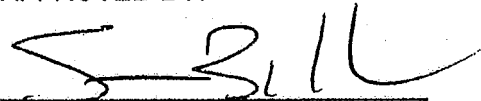
**WHEREAS**, Presiding Officer Lindsay has nominated Thomas A. Isles to serve as a member of the Board of Ethics; now, therefore be it

**1st       RESOLVED**, that the appointment of Thomas A. Isles to the Suffolk County Board of Ethics is hereby approved, effective March 27, 2012, with his term of office to expire on March 26, 2016; and be it further

**2nd       RESOLVED**, that this Legislature, being the State Environmental Quality Review Act (SEQRA) lead agency, hereby finds and determines that this resolution constitutes a Type II action pursuant to Section 617.5(c)(20), (21) and (27) of Title 6 of the NEW YORK CODE OF RULES AND REGULATIONS (6 NYCRR) and within the meaning of Section 8-0109(2) of the NEW YORK ENVIRONMENTAL CONSERVATION LAW as a promulgation of regulations, rules, policies, procedures, and legislative decisions in connection with continuing agency administration, management and information collection, and the Suffolk County Council on Environmental Quality (CEQ) is hereby directed to circulate any appropriate SEQRA notices of determination of non-applicability or non-significance in accordance with this resolution.

DATED: March 13, 2012

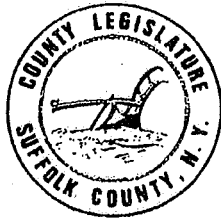
APPROVED BY:

  
County Executive of Suffolk County

Date: 3-27-2012



SUFFOLK COUNTY  
County Legislature  
RIVERHEAD, NY



*This is to Certify That I*, TIM LAUBE, Clerk of the County Legislature of the County of Suffolk, have compared the foregoing copy of resolution with the original resolution now on file in this office, and which was duly adopted by the County Legislature of said County on March 13, 2012 and that the same is a true and correct transcript of said resolution and of the whole thereof.

*In Witness Whereof*, I have hereunto set my hand and the official seal of the County Legislature of the County of Suffolk.

*Tim Laube*

Clerk of the Legislature

Intro. Res.

1062

Res. No.

157

March 13, 2012

**Motion:**

Romaine, Schneiderman, Browning, Muratore, Anker  
 Calarco, Montano, Cilmi, Lindsay, Hahn, Barraga,  
 Kennedy, Nowick, Horsley, Gregory, Stern, D'Amaro, Spencer

**Co-Sponsors:**

Romaine, Schneiderman, Browning, Muratore, Anker  
 Calarco, Montano, Cilmi, Lindsay, Hahn, Barraga,  
 Kennedy, Nowick, Horsley, Gregory, Stern, D'Amaro, Spencer

**Second:**

Romaine, Schneiderman, Browning, Muratore, Anker  
 Calarco, Montano, Cilmi, Lindsay, Hahn, Barraga,  
 Kennedy, Nowick, Horsley, Gregory, Stern, D'Amaro, Spencer

LD	Legislator	Yes	No	Abs	NP	R
1	Edward P. ROMAINE	/				
2	Jay H. SCHNEIDERMAN	/				
3	Kate M. BROWNING	/				
4	Thomas MURATORE	/				
5	Kara HAHN	/				
6	Sarah S. ANKER	/				
7	Rob CALARCO	/				
9	Ricardo MONTANO			/		
10	Thomas CILMI	/				
11	Thomas F. BARRAGA	/				
12	John M. KENNEDY, JR.	/				
13	Lynne C. NOWICK	/				
15	DuWayne GREGORY	/				
16	Steven H. STERN	/				
17	Lou D'AMARO	/				
18	William SPENCER	/				
14	Wayne R. HORSLEY, D.P.O.	/				
8	William J. LINDSAY, P.O.	/				
Totals		17	1			

**MOTION**☒ Approve

Table: \_\_\_\_\_

Send To Committee

Table Subject To Call

Lay On The Table

Discharge

Take Out of Order

Reconsider

Waive Rule \_\_\_\_\_

Override Veto

Close

Recess

APPROVED ☒

FAILED \_\_\_\_\_

No Motion \_\_\_\_\_

No Second \_\_\_\_\_

**RESOLUTION DECLARED**☒ ADOPTED

NOT ADOPTED

Roll Call \_\_\_\_\_ Voice Vote ☒

*Tim Laube*  
 Tim Laube, Clerk of the Legislature

# Exhibit 4

Intro. Res. No. 1177-2012  
Introduced by Legislator Gregory

Laid on Table 2/7/2012

**RESOLUTION NO. 164 -2012, APPOINT MEMBER TO THE  
SUFFOLK COUNTY BOARD OF ETHICS (HEATHER M.  
PALMORE, ESQ.)**

**WHEREAS**, Local Law No. 56-2011 established a five member Board of Ethics;  
and

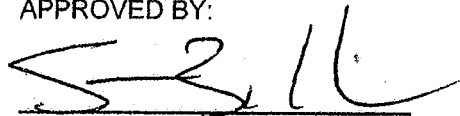
**WHEREAS**, all appointments to the Board of Ethics are subject to legislative  
approval; now, therefore be it

**1st RESOLVED**, that Heather M. Palmore, Esq. of Wyandanch, NY, is hereby  
appointed to the Suffolk County Board of Ethics as the appointment of the Majority Leader, for a  
term of office to expire three years from the effective date of this resolution; now, therefore be it

**2nd RESOLVED**, that this Legislature, being the State Environmental Quality Review  
Act (SEQRA) lead agency, hereby finds and determines that this resolution constitutes a Type II  
action pursuant to Section 617.5(c)(20), (21) and (27) of Title 6 of the NEW YORK CODE OF  
RULES AND REGULATIONS (6 NYCRR) and within the meaning of Section 8-0109(2) of the  
NEW YORK ENVIRONMENTAL CONSERVATION LAW as a promulgation of regulations,  
rules, policies, procedures, and legislative decisions in connection with continuing agency  
administration, management and information collection, and the Suffolk County Council on  
Environmental Quality (CEQ) is hereby directed to circulate any appropriate SEQRA notices of  
determination of non-applicability or non-significance in accordance with this resolution.

DATED: March 13, 2012

APPROVED BY:

  
County Executive of Suffolk County

Date: 3-27-2012

SUFFOLK COUNTY  
County Legislature  
RIVERHEAD, NY



*This is to Certify That I, TIM LAUBE, Clerk of the County Legislature of the County of Suffolk, have compared the foregoing copy of resolution with the original resolution now on file in this office, and which was duly adopted by the County Legislature of said County on*

*March 13, 2012 and that the same is a true and correct transcript of said resolution and of the whole thereof.*

*In Witness Whereof, I have hereunto set my hand and the official seal of the County Legislature of the County of Suffolk.*

*Tim Laube*

Clerk of the Legislature

Intro. Res.

1177

Res. No.

1104

March 13, 2012

**Motion:**

Romaine, Schneiderman, Browning, Muratore, Anker  
 Calarco, Montano, Cilmi, Lindsay, Hahn, Barraga,  
 Kennedy, Nowick, Horsley, Gregory, Stern, D'Amaro, Spencer

**Co-Sponsors:**

Romaine, Schneiderman, Browning, Muratore, Anker  
 Calarco, Montano, Cilmi, Lindsay, Hahn, Barraga,  
 Kennedy, Nowick, Horsley, Gregory, Stern, D'Amaro, Spencer

**Second:**

Romaine, Schneiderman, Browning, Muratore, Anker  
 Calarco, Montano, Cilmi, Lindsay, Hahn, Barraga,  
 Kennedy, Nowick, Horsley, Gregory, Stern, D'Amaro, Spencer

LD	Legislator	Yes	No	Abs	NP	R
1	Edward P. ROMAINÉ	/				
2	Jay H. SCHNEIDERMAN	/				
3	Kate M. BROWNING	/				
4	Thomas MURATORE	/				
5	Kara HAHN	/				
6	Sarah S. ANKER	/				
7	Rob CALARCO	/				
9	Ricardo MONTANO	/				
10	Thomas CILMI	/				
11	Thomas F. BARRAGA	/				
12	John M. KENNEDY, JR.	/				
13	Lynne C. NOWICK	/				
15	DuWayne GREGORY	/				
16	Steven H. STERN	/				
17	Lou D'AMARO	/				
18	William SPENCER					/
14	Wayne R. HORSLEY, D.P.O.	/				
8	William J. LINDSAY, P.O.	/				
Totals		17				1

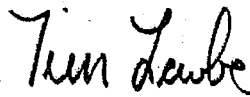
**MOTION**☒ Approve

Table: \_\_\_\_\_

☐ Send To Committee☐ Table Subject To Call☐ Lay On The Table☐ Discharge☐ Take Out of Order☐ Reconsider☐ Waive Rule \_\_\_\_\_☐ Override Veto☐ Close☐ RecessAPPROVED ☒

FAILED \_\_\_\_\_

No Motion \_\_\_\_\_ No Second \_\_\_\_\_

**RESOLUTION DECLARED**☒ ADOPTED☐ NOT ADOPTEDRoll Call \_\_\_\_\_ Voice Vote ☒


Tim Laube, Clerk of the Legislature

# Exhibit 5

Intro. Res. No. 1257-2012

Laid on Table 3/13/2012

Introduced by Presiding Officer, on request of the County Executive

**RESOLUTION NO. 2 // -2012, APPOINTING MEMBER OF  
THE SUFFOLK COUNTY BOARD OF ETHICS (RICHARD F.  
HALVERSON)**

**WHEREAS**, Local Law No. 56-2011 established a new Suffolk County Board of Ethics to administer and enforce the County's conflict of interest and disclosure rules; and.

**WHEREAS**, Pursuant to Local Law No. 56-2011, the County Executive appoints two (2) members to the Board of Ethics, subject to legislative approval; and

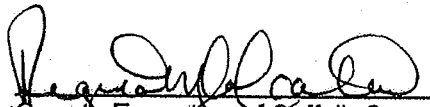
**WHEREAS**, County Executive Bellone has nominated Richard F. Halverson to serve as a member of the Board of Ethics; now, therefore be it

**1<sup>st</sup>** **RESOLVED**, that the appointment of Richard F. Halverson to the Suffolk County Board of Ethics as the County Executive's appointment is hereby approved, for a term of office to expire three (3) years from the effective date of this resolution; and be it further

**2<sup>nd</sup>** **RESOLVED**, that this Legislature, being the State Environment Quality review Act (SEQRA) lead agency, hereby finds and determines that this law constitutes a Type II action pursuant to section 617.5 (c) (20) and 27 of the NEW YORK CODE OF RULES AND REGULATIONS (NYCRR) and within the meaning of section 8-0109(2) of the New York Environmental Law as a promulgation of regulations, rule, policies, procedures, and legislative decisions in connection with continuing agency administration, management and information collection, and The Suffolk County Council on environmental quality (CEQ) is hereby directed to circulate any appropriate SEQRA notices of determination of non-applicability or non-significance in accordance with this resolution.

DATED: **MAR 27 2012**

APPROVED BY:

  
Chief Deputy County Executive of Suffolk County

Date: 4/6/12



(Res. 211)

RICHARD F. HALVERSON  
53 Columbine Avenue N.  
Hampton Bays, NY 11946  
631-728-6980  
917-309-2641  
[Rhalver2@aol.com](mailto:Rhalver2@aol.com)

**Professional Experience:**

Assistant Deputy Director of the New York City Financial Control Board,  
the state agency responsible for overseeing the City's budget during the fiscal crises, 1976-1977  
Assistant to Mayor Edward I. Koch during his first year in office, 1978.  
Deputy Chancellor of the New York City Board of Education, responsible for the budgeting and  
financial operations of the City's public school system, 1978-1983.  
Acting Chancellor of the New York City Public Schools during the search for a new permanent  
Chancellor, 1983.  
President of Field Management Associates, a consulting group working with corporations and  
not-for profit organizations in New York City, 1984-1986.  
President of Historic Hudson Valley, a preservationist group sponsored by members of the  
Rockefeller family, 1986-1988.  
Independent consultant to corporations and not-for-profit organizations in New York City, 1988-  
1991.  
Deputy Comptroller of the City of New York, serving at various times in three different  
capacities: Deputy Comptroller for Budget, Deputy Comptroller for Finance, and Deputy  
Comptroller for Pensions, 1991-1999.  
Executive Vice President of St. Francis College, Brooklyn, New York, 1999-2007.

**Teaching Experience:**

Instructor in Political Science, Bloomfield College, Bloomfield, New Jersey, 1966-1969.  
Assistant Professor of Public Administration, University of Dayton, Dayton, Ohio, 1972-1976.

**Civic Activities Since Retirement in 2007:**

Member of the Budget and Finance Committee of the Town of Southampton.  
Member of the executive committee of Neighbors in Support of Immigrants, an advocacy group  
on the East End of Long Island.

**Education:**

BS in History, University of Wisconsin, Madison, Wisconsin  
MS in Public Law and Government, Columbia University, New York, New York  
PhD in Politics and Education, Columbia University, New York, New York

**Date of Birth:** March 22 1942

Intro. Res.

Res. No.

March 27, 2012

**Motion:**

Romaine, Schneiderman, Browning, Muratore, Anker  
 Calarco, Montano, Cilmi, Lindsay, Hahn, Barraga,  
 Kennedy, Nowick, Horsley, Gregory, Stern, D'Amaro, Spencer

**Co-Sponsors:**

Romaine, Schneiderman, Browning, Muratore, Anker  
 Calarco, Montano, Cilmi, Lindsay, Hahn, Barraga,  
 Kennedy, Nowick, Horsley, Gregory, Stern, D'Amaro, Spencer

**Second:**

Romaine, Schneiderman, Browning, Muratore, Anker  
 Calarco, Montano, Cilmi, Lindsay, Hahn, Barraga,  
 Kennedy, Nowick, Horsley, Gregory, Stern, D'Amaro, Spencer

LD	Legislator	Yes	No	Abs	NP	R
1	Edward P. ROMAINÉ					
2	Jay H. SCHNEIDERMAN					
3	Kate M. BROWNING					
4	Thomas MURATORE					
5	Kara HAHN					
6	Sarah S. ANKER					
7	Rob CALARCO					
9	Ricardo MONTANO					
10	Thomas CILMI					
11	Thomas F. BARRAGA					
12	John M. KENNEDY, JR.					
13	Lynne C. NOWICK					
15	DuWayne GREGORY					
16	Steven H. STERN					
17	Lou D'AMARO					
18	William SPENCER					
14	Wayne R. HORSLEY, D.P.O.					
8	William J. LINDSAY, P.O.					
Totals		17	1	1	1	1

**MOTION**☒ Approve

Table: \_\_\_\_\_

Send To Committee

Table Subject To Call

Lay On The Table

Discharge

Take Out of Order

Reconsider

Waive Rule \_\_\_\_\_

Override Veto

Close

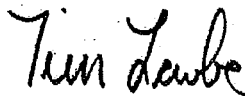
Recess

APPROVED ☒ FAILED \_\_\_\_\_

No Motion \_\_\_\_\_ No Second \_\_\_\_\_

**RESOLUTION DECLARED**☒ ADOPTED

NOT ADOPTED

Roll Call \_\_\_\_\_ Voice Vote ☒


Tim Laube, Clerk of the Legislature

Intro. Res. No. 1447-2012

Laid on Table 4/24/2012

Introduced by Presiding Officer, on request of the County Executive

**RESOLUTION NO. 365 -2012, AUTHORIZING CERTAIN  
TECHNICAL CORRECTION TO ADOPTED RESOLUTION NO.  
211-2012**

**WHEREAS**, the County Legislature has adopted and the County Executive has signed Resolution No. 211-2012; and

**WHEREAS**, Section C30-2 (C) of the Suffolk County Code, as adopted by Local Law No. 56-2011, specifies that the two members appointed to the Suffolk County Board of Ethics by the County Executive shall be appointed to initial terms of two years; and

**WHEREAS**, Resolution No. 211-2012 erroneously specified that one of the County Executive's appointments to the Board of Ethics (Richard F. Halverson) would serve for three years; and

**WHEREAS**, the resolution when adopted therefore contained a technical error;  
and

**WHEREAS**, the County Executive desires a technical correction to this resolution; now, therefore be it

**1st RESOLVED**, that the Clerk of the Legislature shall make the following technical correction:

**Resolution No. 211-2012**

Change 1<sup>st</sup> RESOLVED Clause:

**FROM:**

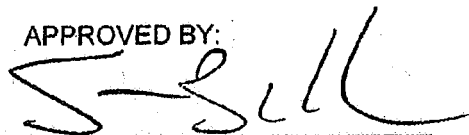
**1st RESOLVED**, that the appointment of Richard F. Halverson to the Suffolk County Board of Ethics as the County Executive's appointment is hereby approved, for a term of office to expire **three (3)** years from the effective date of this resolution; and be it further

**TO:**

**1st RESOLVED**, that the appointment of Richard F. Halverson to the Suffolk County Board of Ethics as the County Executive's appointment is hereby approved, for a term of office to expire **two (2)** years from the effective date of this resolution; and be it further

**DATED: MAY 08 2012**

**APPROVED BY:**

  
County Executive of Suffolk County

**Date:** 5.24.2012

SUFFOLK COUNTY  
County Legislature  
RIVERHEAD, NY



*This is to Certify That I, TIM LAUBE, Clerk of the County Legislature of the County of Suffolk, have compared the foregoing copy of resolution with the original resolution now on file in this office, and which was duly adopted by the County Legislature of said County on May 8, 2012 and that the same is a true and correct transcript of said resolution and of the whole thereof.*

*In Witness Whereof, I have hereunto set my hand and the official seal of the County Legislature of the County of Suffolk.*

*Tim Laube*

Clerk of the Legislature

Intro. Res.

Res. No.

May 8, 2012

**Motion:**

Romaine, Schneideman, Browning, Muratore, Anker  
 Calarco, Montano, Cilmi, Lindsay, Hahn, Barraga,  
 Kennedy, Nowick, Horsley, Gregory, Stern, D'Amaro, Spencer

**Co-Sponsors:**

Romaine, Schneideman, Browning, Muratore, Anker  
 Calarco, Montano, Cilmi, Lindsay, Hahn, Barraga,  
 Kennedy, Nowick, Horsley, Gregory, Stern, D'Amaro, Spencer

**Second:**

Romaine, Schneideman, Browning, Muratore, Anker  
 Calarco, Montano, Cilmi, Lindsay, Hahn, Barraga,  
 Kennedy, Nowick, Horsley, Gregory, Stern, D'Amaro, Spencer

LD	Legislator	Yes	No	Abs	NP	R
1	Edward P. ROMAINE	1				
2	Jay H. SCHNEIDERMAN					
3	Kate M. BROWNING	1				
4	Thomas MURATORE	1				
5	Kara HAHN	1				
6	Sarah S. ANKER	1				
7	Rob CALARCO	1				
9	Ricardo MONTANO					
10	Thomas CILMI	1				
11	Thomas F. BARRAGA	1				
12	John M. KENNEDY, JR.					
13	Lynne C. NOWICK	1				
15	DuWayne GREGORY	1				
16	Steven H. STERN					
17	Lou D'AMARO					
18	William SPENCER					
14	Wayne R. HORSLEY, D.P.O.	1				
8	William J. LINDSAY, P.O.	1				
Totals		15	1	3		

**MOTION**

☒ Approve  
 \_\_\_ Table: \_\_\_\_\_  
 \_\_\_ Send To Committee  
 \_\_\_ Table Subject To Call  
 \_\_\_ Lay On The Table  
 \_\_\_ Discharge  
 \_\_\_ Take Out of Order  
 \_\_\_ Reconsider  
 \_\_\_ Waive Rule \_\_\_\_\_  
 \_\_\_ Override Veto  
 \_\_\_ Close  
 \_\_\_ Recess  
 APPROVED ☒ FAILED \_\_\_\_\_  
 No Motion \_\_\_\_\_ No Second \_\_\_\_\_

**RESOLUTION DECLARED**☒ ADOPTED☐ NOT ADOPTEDRoll Call \_\_\_\_\_ Voice Vote ☒

*Tim Laube*  
 Tim Laube, Clerk of the Legislature

# Exhibit 6

Intro. Res. No. 1581-2012  
Introduced by Presiding Officer Lindsay

Laid on Table 6/5/2012

**RESOLUTION NO. 561 -2012, AMENDING THE SUFFOLK  
COUNTY CLASSIFICATION AND SALARY PLAN IN  
CONNECTION WITH A NEW POSITION TITLE IN THE BOARD  
OF ETHICS: EXECUTIVE DIRECTOR OF THE SUFFOLK  
COUNTY BOARD OF ETHICS**

**WHEREAS**, Resolution No. 828-2011 abolished the Ethics Commission and created in its stead a new Board of Ethics; and

**WHEREAS**, it is necessary to create a new title for the Executive Director in order to conform to the newly created Board and to abolish and create appropriate positions, now, therefore be it

**1st RESOLVED**, that the Suffolk County Classification and Salary Plan is hereby amended as follows:

**ADDITION TO CLASSIFICATION AND SALARY PLAN**

<u>Spec. No.</u>	<u>JC</u>	<u>Position Title</u>	<u>Grade</u>	<u>BU</u>
9309	P (NC)	Executive Director of the Suffolk County Board of Ethics	25	EX

**DELETION FROM CLASSIFICATION AND SALARY PLAN**

<u>Spec. No.</u>	<u>JC</u>	<u>Position Title</u>	<u>Grade</u>	<u>BU</u>
9313	C	Director of the Suffolk County Ethics Commission	25	02

and be it further

**2nd RESOLVED**, that the Suffolk County Operating Budget be amended as follows to create positions in the new Board of Ethics and abolish positions in the Ethics Commission:

**AMENDMENTS TO OPERATING BUDGET**

**Additions**

<u>PCN</u>	<u>Spec. No.</u>	<u>JC</u>	<u>Position Title</u>	<u>Grade</u>	<u>BU</u>
01-1120-0100-0011	9309	P (NC)	Executive Director of the Suffolk County Board of Ethics	25	EX
01-1120-0100-0021	0097	E	Secretary	17	30

**Deletions**

01-1120-0100-0010	9313	C	Director of the Suffolk County Ethics Commission	25	02
-------------------	------	---	---	----	----

and be it further

**3rd** **RESOLVED**, that the provisions of the resolution shall be effective retroactively to the effective date of the charter law establishing the Board of Ethics.

DATED: **JUN 19 2012**

APPROVED BY:

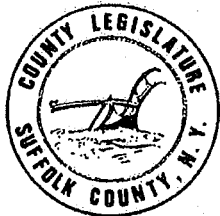


County Executive of Suffolk County

Date: 6-28-2012



SUFFOLK COUNTY  
County Legislature  
RIVERHEAD, NY



*This is to Certify That I, TIM LAUBE, Clerk of the County Legislature of the County of Suffolk, have compared the foregoing copy of resolution with the original resolution now on file in this office, and which was duly adopted by the County Legislature of said County on June 19, 2012 and that the same is a true and correct transcript of said resolution and of the whole thereof.*

*In Witness Whereof, I have hereunto set my hand and the official seal of the County Legislature of the County of Suffolk.*

*Tim Laube*

---

Clerk of the Legislature

Intro. Res.

1581

Res. No.

561

June 19, 2012

**Motion:**

Romaine, Schneiderman, Browning, Muratore, Anker  
 Calarco, Montano, Cilmi, Lindsay, Hahn, Barraga,  
 Kennedy, Nowick, Horsley, Gregory, Stern, D'Amaro, Spencer

**Co-Sponsors:**

Romaine, Schneiderman, Browning, Muratore, Anker  
 Calarco, Montano, Cilmi, Lindsay, Hahn, Barraga,  
 Kennedy, Nowick, Horsley, Gregory, Stern, D'Amaro, Spencer

**Second:**

Romaine, Schneiderman, Browning, Muratore, Anker  
 Calarco, Montano, Cilmi, Lindsay, Hahn, Barraga,  
 Kennedy, Nowick, Horsley, Gregory, Stern, D'Amaro, Spencer

LD	Legislator	Yes	No	Abs	NP	R
1	Edward P. ROMAINE					
2	Jay H. SCHNEIDERMAN					
3	Kate M. BROWNING					
4	Thomas MURATORE					
5	Kara HAHN					
6	Sarah S. ANKER					
7	Rob CALARCO					
9	Ricardo MONTANO					
10	Thomas CILMI					
11	Thomas F. BARRAGA					
12	John M. KENNEDY, JR.					
13	Lynne C. NOWICK					
15	DuWayne GREGORY					
16	Steven H. STERN					
17	Lou D'AMARO					
18	William SPENCER					
14	Wayne R. HORSLEY, D.P.O.					
8	William J. LINDSAY, P.O.					
Totals		16	—	2	—	

**MOTION**☒ Approve

Table: \_\_\_\_\_

Send To Committee

Table Subject To Call

Lay On The Table

Discharge

Take Out of Order

Reconsider

Waive Rule \_\_\_\_\_

Override Veto

Close

Recess

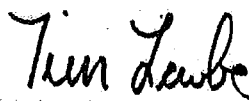
APPROVED ☒

FAILED \_\_\_\_\_

No Motion \_\_\_\_\_ No Second \_\_\_\_\_

**RESOLUTION DECLARED**☒ ADOPTED

NOT ADOPTED

Roll Call \_\_\_\_\_ Voice Vote ☒


Tim Laube, Clerk of the Legislature

# Exhibit 7

Intro. Res. No. 1693-2012

Laid on Table 6/19/2012

Introduced by Legislators Kennedy, Nowick and Spencer

**RESOLUTION NO. 556 -2012, APPOINT MEMBER TO THE  
SUFFOLK COUNTY BOARD OF ETHICS (LINDA A. SPAHR)**

**WHEREAS**, Local Law No. 56-2011 established a five-member Board of Ethics;  
and


**WHEREAS**, all appointments to the Board of Ethics are subject to legislative approval; now, therefore be it

**1st • RESOLVED**, that, Linda A. Spahr, Esq. of Saint James, NY, is hereby appointed to the Suffolk County Board of Ethics as the appointment of the Minority Leader, for a term of office to expire three-years from the effective date of this resolution; and be it further

**2nd RESOLVED**, that this Legislature, being the State Environmental Quality Review Act (SEQRA) lead agency, hereby finds and determines that this resolution constitutes a Type II action pursuant to Section 617.5(c)(20), (21) and (27) of Title 6 of the NEW YORK CODE OF RULES AND REGULATIONS (6 NYCRR) and within the meaning of Section 8-0109(2) of the NEW YORK ENVIRONMENTAL CONSERVATION LAW as a promulgation of regulations, rules, policies, procedures, and legislative decisions in connection with continuing agency administration, management and information collection, and the Suffolk County Council on Environmental Quality (CEQ) is hereby directed to circulate any appropriate SEQRA notices of determination of non-applicability or non-significance in accordance with this resolution.

DATED: June 19, 2012

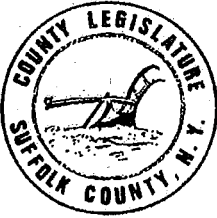
APPROVED BY:



County Executive of Suffolk County

Date: 6-26-2012

SUFFOLK COUNTY  
County Legislature  
RIVERHEAD, NY



*This is to Certify That I, TIM LAUBE, Clerk of the County Legislature of the County of Suffolk, have compared the foregoing copy of resolution with the original resolution now on file in this office, and which was duly adopted by the County Legislature of said County on June 19, 2012 and that the same is a true and correct transcript of said resolution and of the whole thereof.*

*In Witness Whereof, I have hereunto set my hand and the official seal of the County Legislature of the County of Suffolk.*

*Tim Laube*

Clerk of the Legislature

Intro. Res. **CN1693**Res. No. **556**

June 19, 2012

**Motion:**

Romaine, Schneiderman, Browning, Muratore, Anker

Calarco, Montano, Cilmi, Lindsay, Hahn, Barraga,

Kennedy, Nowick, Horsley, Gregory, Stern, D'Amaro, Spencer**Co-Sponsors:**

Romaine, Schneiderman, Browning, Muratore, Anker

Calarco, Montano, Cilmi, Lindsay, Hahn, Barraga,

Kennedy, Nowick, Horsley, Gregory, Stern, D'Amaro, Spencer**Second:**

Romaine, Schneiderman, Browning, Muratore, Anker

Calarco, Montano, Cilmi, Lindsay, Hahn, Barraga,

Kennedy, Nowick, Horsley, Gregory, Stern, D'Amaro, Spencer

LD	Legislator	Yes	No	Abs	NP	R
1	Edward P. ROMAINE					
2	Jay H. SCHNEIDERMAN					
3	Kate M. BROWNING					
4	Thomas MURATORE					
5	Kara HAHN					
6	Sarah S. ANKER					
7	Rob CALARCO					
9	Ricardo MONTANO					
10	Thomas CILMI					
11	Thomas F. BARRAGA					
12	John M. KENNEDY, JR.					
13	Lynne C. NOWICK					
15	DuWayne GREGORY					
16	Steven H. STERN					
17	Lou D'AMARO					
18	William SPENCER					
14	Wayne R. HORSLEY, D.P.O.					
8	William J. LINDSAY, P.O.					
Totals		17	—	1	—	—

**MOTION**☒ Approve

Table: \_\_\_\_\_

Send To Committee

Table Subject To Call

Lay On The Table

Discharge

Take Out of Order

Reconsider

Waive Rule \_\_\_\_\_

Override Veto

Close

Recess

APPROVED ☒

FAILED \_\_\_\_\_

No Motion \_\_\_\_\_

No Second \_\_\_\_\_

**RESOLUTION DECLARED**☒ ADOPTED

NOT ADOPTED

Roll Call \_\_\_\_\_ Voice Vote ☒*Tim Laube*

Tim Laube, Clerk of the Legislature

COPY

# Exhibit 8

Intro. Res. No. 1637-2012

Laid on Table 6/5/2012

Introduced by Presiding Officer, on request of the County Executive and Legislator Schneiderman

**RESOLUTION NO. 558 -2012, APPOINTING MEMBER OF THE  
SUFFOLK COUNTY BOARD OF ETHICS (ROBIN L. LONG)**

**WHEREAS**, Local Law No. 56-2011 established a new Suffolk County Board of Ethics to administer and enforce the County's conflict of interest and disclosure rules; and

**WHEREAS**, Pursuant to Local Law No. 56-2011, the County Executive appoints two (2) members to the Board of Ethics, subject to legislative approval; and

**WHEREAS**, County Executive Bellone has nominated Robin L. Long, Esq., of Hampton Bays, New York, to serve as a member of the Board of Ethics; now, therefore be it

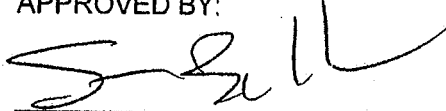
**1<sup>st</sup>** **RESOLVED**, that the appointment of Robin L. Long, Esq. to the Suffolk County Board of Ethics as the County Executive's appointment is hereby approved, for a term of office to expire two (2) years from the effective date of this resolution; and be it further

**2<sup>nd</sup>** **RESOLVED**, that the provisions within this resolution shall take effect immediately; and be it further

**3<sup>rd</sup>** **RESOLVED**, that this Legislature, being the State Environmental Quality Review Act (SEQRA) lead agency, hereby finds and determines that this law constitutes a Type II action pursuant to Section 617.5(c)(20), and/or (27) of Title 6 of the NEW YORK CODE OF RULES AND REGULATIONS (6 NYCRR) and within the meaning of Section 8-0109(2) of the NEW YORK ENVIRONMENTAL CONSERVATION LAW as a promulgation of regulations, rules, policies, procedures, and legislative decisions in connection with continuing agency administration, management and information collection. The Suffolk County Council on Environmental Quality (CEQ) is hereby directed to circulate any appropriate SEQRA notices of determination of non-applicability or non-significance in accordance with this law.

DATED: June 19, 2012

APPROVED BY:



County Executive of Suffolk County

Date:

6-26-2012



SUFFOLK COUNTY  
County Legislature  
RIVERHEAD, NY



*This is to Certify That I,* TIM LAUBE, Clerk of the County Legislature of the County of Suffolk, have compared the foregoing copy of resolution with the original resolution now on file in this office, and which was duly adopted by the County Legislature of said County on June 19, 2012 and that the same is a true and correct transcript of said resolution and of the whole thereof.

*In Witness Whereof,* I have hereunto set my hand and the official seal of the County Legislature of the County of Suffolk.

*Tim Laube*

Clerk of the Legislature

Intro. Res.

Res. No.

June 19, 2012

**Motion:**

Romaine, Schneiderman, Browning, Muratore, Anker  
 Calarco, Montano, Cilmi, Lindsay, Hahn, Barraga,  
 Kennedy, Nowick, Horsley, Gregory, Stern, D'Amaro, Spencer

**Co-Sponsors:**

Romaine, Schneiderman, Browning, Muratore, Anker  
 Calarco, Montano, Cilmi, Lindsay, Hahn, Barraga,  
 Kennedy, Nowick, Horsley, Gregory, Stern, D'Amaro, Spencer

**Second:**

Romaine, Schneiderman, Browning, Muratore, Anker  
 Calarco, Montano, Cilmi, Lindsay, Hahn, Barraga,  
 Kennedy, Nowick, Horsley, Gregory, Stern, D'Amaro, Spencer

LD	Legislator	Yes	No	Abs	NP	R
1	Edward P. ROMAINÉ					
2	Jay H. SCHNEIDERMAN					
3	Kate M. BROWNING					
4	Thomas MURATORE					
5	Kara HAHN					
6	Sarah S. ANKER					
7	Rob CALARCO					
9	Ricardo MONTANO					
10	Thomas CILMI					
11	Thomas F. BARRAGA					
12	John M. KENNEDY, JR.					
13	Lynne C. NOWICK					
15	DuWayne GREGORY					
16	Steven H. STERN					
17	Lou D'AMARO					
18	William SPENCER					
14	Wayne R. HORSLEY, D.P.O.					
8	William J. LINDSAY, P.O.					
	Totals	17				

**MOTION**☒ Approve

Table: \_\_\_\_\_

Send To Committee

Table Subject To Call

Lay On The Table

Discharge

Take Out of Order

Reconsider

Waive Rule \_\_\_\_\_

Override Veto

Close

Recess

APPROVED ☒

FAILED \_\_\_\_\_

No Motion \_\_\_\_\_

No Second \_\_\_\_\_

**RESOLUTION DECLARED**☒ ADOPTED

NOT ADOPTED

Roll Call \_\_\_\_\_ Voice Vote ☒


Tim Laube, Clerk of the Legislature

# Exhibit 9

Intro. Res. No. 1586-2012

Laid on Table 6/5/2012

Introduced by Legislators Romaine, Browning, Anker, Calarco, Hahn and Gregory

**RESOLUTION NO. 725 -2012, ADOPTING LOCAL LAW  
NO. 49 -2012, A CHARTER LAW TO ENSURE THE  
INDEPENDENCE AND INTEGRITY OF THE COUNTY ETHICS  
PROCESS**

**WHEREAS**, there was duly presented and introduced to this County Legislature at a meeting held on June 5, 2012 a proposed local law entitled, "**A CHARTER LAW TO ENSURE THE INDEPENDENCE AND INTEGRITY OF THE COUNTY ETHICS PROCESS**"; now, therefore be it

**RESOLVED**, that said local law be enacted in form as follows:

**LOCAL LAW NO. 49 -2012, SUFFOLK COUNTY, NEW YORK**

**A CHARTER LAW TO ENSURE THE INDEPENDENCE AND  
INTEGRITY OF THE COUNTY ETHICS PROCESS**

**BE IT ENACTED BY THE COUNTY LEGISLATURE OF THE COUNTY OF  
SUFFOLK**, as follows:

**Section 1. Legislative Intent.**

This Legislature hereby finds and determines that a Suffolk County Grand Jury was empanelled to investigate matters related to the former Suffolk County Ethics Commission. The Grand Jury issued a report of its findings and recommendations on April 18, 2012.

This Legislature further finds that the Grand Jury concluded that a small number of County officials, including individuals associated with the Ethics Commission itself, acted improperly for personal and political gain and thereby destroyed the integrity of the Commission.

This Legislature finds and determines that the Grand Jury made a number of recommendations to safeguard the independence and integrity of the County's ethics program going forward.

This Legislature, after pursuing its own independent investigation of the Suffolk County Ethics Commission, enacted Local Laws 55 and 56 of 2011. These laws updated the County's Code of Ethics, abolished the Ethics Commission and established a new Board of Ethics.

This Legislature determines that Local Laws 55-2011 and 56-2011 anticipated and implemented several critical reforms that were recommended by the Grand Jury, including:

1. Increased the size of the Board of Ethics to five members to inoculate the Board from improper influence.
2. Established time guidelines for the Board of Ethics to issue advisory opinions and determine ethics complaints.

3. Delineated procedural guidelines to govern advisory opinions, complaints, hearings and financial disclosure.
4. Provided remuneration to members of the Board of Ethics.
5. Required the Board to respond to requests for financial disclosure statements from members of the public in the order that they are received and within the time periods prescribed by the Freedom of Information Law.

This Legislature also finds that Local Law Nos. 55-2011 and 56-2011 included other important reforms to strengthen the integrity, independence and transparency of the ethics process. Ethics board members are now prohibited from making contributions to County elected officials and candidates; the Boards' offices can no longer be sited in a building occupied by the County Executive or County Legislature; and advisory opinions must now be made public (with such deletions as are necessary to prevent the disclosure of the identity of the person who requested the opinion).

This Legislature further finds and determines that further improvements can be made to the County's ethics process by incorporating certain recommendations of the Grand Jury.

Therefore, the purpose of this law is to enact certain recommendations of the Suffolk County Grand Jury that investigated the former Ethics Commission to protect the independence and integrity of the new Board of Ethics and to ensure that the County's process for enforcing ethical standards is never again improperly subverted.

## **Section 2. Amendments.**

I Section A30-5 of the SUFFOLK COUNTY ADMINISTRATIVE CODE is hereby amended by the addition of new paragraphs (D) and (E) which shall read as follows:

### **§A30-5 - Complaints, Referrals.**

\* \* \* \*

D. The board's staff may answer inquiries regarding the procedure involved in making a complaint alleging an ethical violation, however, the executive director, independent counsel and support staff shall not assist any person or entity, other than the Board and its members, in the preparation of a complaint against a public servant alleging a violation of the County's Code of Ethics or other applicable provision of law governing conflicts of interest.

E. It shall be unlawful for any person to make a complaint or threaten to make a complaint to the Board against a public servant, or to offer to withdraw a complaint against a public servant, in order to improperly influence that public servant's vote, opinion, judgment, action, decision or exercise of discretion as a public servant. Such conduct will constitute a violation punishable by a fine of not more than \$1,500, or imprisonment of not more than 15 days, or both.

II. Section A30-8 of the SUFFOLK COUNTY ADMINISTRATIVE CODE is hereby amended as follows:

**§A30-8. Confidentiality.**

A. Except as otherwise provided by this law, testimony received or any other information obtained by a member of the Board [of] or the staff [or] of the Board in connection with the preparation of an advisory opinion or the investigation of a complaint or referral, or the conduct of a hearing related to a complaint or referral, is confidential and shall not be disclosed by any such individual to any person or entity outside the Board. However, the Board shall provide all documents requested by the Suffolk County Legislature or a duly authorized committee of the Legislature that is exercising oversight of the Board of Ethics. Such a request for records must be approved by a two-thirds (2/3) vote of the Legislature via a procedural motion.

B. Any unauthorized disclosure of confidential information by a member of the Board, or the executive director, independent counsel or staff of the Board, shall be a violation punishable by a fine of not more than \$1,500, or imprisonment of not more than 15 days, or both.

III. Article 30 of the SUFFOLK COUNTY ADMINISTRATIVE CODE is hereby amended by the addition of a new section A30-9, which shall read as follows:

**A30-9. Disclosure of Potential Conflict.**

A member of the Board shall disclose to the full Board any personal or business relationship he or she may have with a public servant who has requested an advisory opinion or who is the subject of a complaint pending before the Board. If the member does not recuse himself or herself from participating in that particular matter or proceeding, he or she shall file a written statement with the Board explaining why he or she is able to participate fairly, objectively and in the public's interest.

V. Section A30-9 of the SUFFOLK COUNTY ADMINISTRATIVE CODE is hereby renumbered as Section A30-10.

**Section 3. Applicability.**

This law shall apply to actions occurring on or after the effective date of this law.

**Section 4. Severability.**

If any clause, sentence, paragraph, subdivision, section, or part of this law or the application thereof to any person, individual, corporation, firm, partnership, entity, or circumstance shall be adjudged by any court of competent jurisdiction to be invalid or unconstitutional, such order or judgment shall not affect, impair, or invalidate the remainder thereof, but shall be confined in its operation to the clause, sentence, paragraph, subdivision, section, or part of this law, or in its application to the person, individual, corporation, firm, partnership, entity, or circumstance directly involved in the controversy in which such order or judgment shall be rendered.

**Section 5. SEQRA Determination.**

This Legislature, being the State Environmental Quality Review Act (SEQRA) lead agency, hereby finds and determines that this law constitutes a Type II action pursuant to Section 617.5(c)(20), (21), and/or (27) of Title 6 of the NEW YORK CODE OF RULES AND REGULATIONS (6 NYCRR) and within the meaning of Section 8-0109(2) of the NEW YORK ENVIRONMENTAL CONSERVATION LAW as a promulgation of regulations, rules, policies, procedures, and legislative decisions in connection with continuing agency administration, management and information collection. The Suffolk County Council on Environmental Quality (CEQ) is hereby directed to circulate any appropriate SEQRA notices of determination of non-applicability or non-significance in accordance with this law.


**Section 6. Effective Date.**

This law shall take effect immediately upon filing in the Office of the Secretary of State.

[ ] Brackets denote deletion of existing language.  
\_\_\_ Underlining denotes addition of new language.

DATED: August 21, 2012

APPROVED BY:



County Executive of Suffolk County

Date:

9.18.2012

After a public hearing duly held on September 5, 2012  
Filed with the Secretary of State on October 1, 2012

SUFFOLK COUNTY  
County Legislature  
RIVERHEAD, NY



*This is to Certify That I,* TIM LAUBE, Clerk of the County Legislature of the County of Suffolk, have compared the foregoing copy of resolution with the original resolution now on file in this office, and which was duly adopted by the County Legislature of said County on August 21, 2012 and that the same is a true and correct transcript of said resolution and of the whole thereof.

*In Witness Whereof, I* have hereunto set my hand and the official seal of the County Legislature of the County of Suffolk.

*Tim Laube*

Clerk of the Legislature



Intro. Res.

1586

Res. No.

725

August 21, 2012

Motion:

Romaine, Schneiderman, Browning, Muratore, Anker  
 Calarco, Montano, Cilmi, Lindsay, Hahn, Barraga,  
 Kennedy, Nowick, Horsley, Gregory, Stern, D'Amaro, Spencer

Co-Sponsors:

Romaine, Schneiderman, Browning, Muratore, Anker  
 Calarco, Montano, Cilmi, Lindsey, Hahn, Barraga,  
 Kennedy, Nowick, Horsley, Gregory, Stern, D'Amaro, Spencer

Second:

Romaine, Schneiderman, Browning, Muratore, Anker  
 Calarco, Montano, Cilmi, Lindsay, Hahn, Barraga,  
 Kennedy, Nowick, Horsley, Gregory, Stern, D'Amaro, Spencer

LD	Legislator	Yes	No	Abs	NP	R
1	Edward P. ROMAINE					
2	Jay H. SCHNEIDERMAN					
3	Kate M. BROWNING					
4	Thomas MURATORE					
5	Kara HAHN					
6	Sarah S. ANKER					
7	Rob CALARCO					
9	Ricardo MONTANO					
10	Thomas CILMI					
11	Thomas F. BARRAGA					
12	John M. KENNEDY, JR.					
13	Lynne C. NOWICK					
15	DuWayne GREGORY					
16	Steven H. STERN					
17	Lou D'AMARO					
18	William SPENCER					
14	Wayne R. HORSLEY, D.P.O.					
8	William J. LINDSAY, P.O.					
Totals		17	1	1	1	

## MOTION

☒ Approve

Table: \_\_\_\_\_

Send To Committee

Table Subject To Call

Lay On The Table

Discharge

Take Out of Order

Reconsider

Waive Rule \_\_\_\_\_

Override Veto

Close

Recess

APPROVED ☒ FAILED \_\_\_\_\_

No Motion \_\_\_\_\_ No Second \_\_\_\_\_

## RESOLUTION DECLARED

☒ ADOPTED

NOT ADOPTED

Roll Call \_\_\_\_\_ Voice Vote ☒

Tim Laube

Tim Laube, Clerk of the Legislature

# Exhibit 10

Intro. Res. No. 1837-2012

Laid on Table 8/7/2012

Introduced by Presiding Officer, on request of the County Executive and Legislator Romaine

**RESOLUTION NO. 794 -2012 ADOPTING LOCAL LAW  
NO. 45 -2012, A CHARTER LAW TO ADD EFFICIENCIES FOR  
THE NEWLY CREATED BOARD OF ETHICS**

**WHEREAS**, there was duly presented and introduced to this County Legislature at a regular meeting held on August 7, 2012 a proposed local law entitled, "**A CHARTER LAW TO ADD EFFICIENCIES FOR THE NEWLY CREATED BOARD OF ETHICS**," and said local law in final form is the same as when presented and introduced; now, therefore be it

**RESOLVED**, that said local law be enacted in final form as follows:

**LOCAL LAW NO. 45 -2012, SUFFOLK COUNTY, NEW YORK**

**A CHARTER LAW TO ADD EFFICIENCIES FOR THE NEWLY CREATED  
BOARD OF ETHICS**

**BE IT ENACTED BY THE COUNTY LEGISLATURE OF THE COUNTY OF  
SUFFOLK**, as follows:

**Section 1. Legislative Intent.**

This Legislature finds and determines that a new Board of Ethics was formed under Local Law No. 56-2011, codified at Article XXX of the Suffolk County Charter and Article XXX of the Suffolk County Administrative Code, and that a new Ethics and Accountability law was adopted via Local Law No. 55-2011, codified at Chapter 77 of the Code of Suffolk County.

This Legislature further finds and determines that the new Board was recently fully constituted with a total of five members.

This Legislature further finds and determines that the Board has reviewed the Code and the Charter provisions and determined that certain transitional provisions and efficiencies need to be added to the Charter so that the Board may effectively carry out its duties.

Therefore, the purpose of this law is to amend the Suffolk County Charter to add transitional provisions and efficiencies that will allow the Board to effectively carry out the duties with which it has been entrusted under the law.

**Section 2. Amendments.**

**ARTICLE XXX  
Board of Ethics**

\*\*\*

**I.) Section 30-4 of the Suffolk County Charter is amended as follows:**

**§ C30-4. Staffing; facilities.**

A.) The Board, by a majority vote of the Board's entire membership, shall appoint an executive director, a secretary, [and] independent counsel and such other staff as may be necessary to exercise its powers and fulfill its obligations. The power to appoint and retain an executive director, a secretary, independent counsel and other staff shall be subject only to available appropriations provided therefor in the County operating budget and the actual appointment and filling of such positions shall not be subject to approval by the County Executive or the Budget Office. The Board shall be deemed the appointing authority for all such personnel. The executive director, a secretary, independent counsel and support staff shall not be part of the Suffolk County Department of Law and shall not be supervised by the Department of Law. The Board, its staff and funding shall be treated as a separate agency for purposes of presentation and adoption in the annual County operating budget.

\*\*\*

II.) A new section 30-5 is hereby added to Article XXX of the Suffolk County Charter as follows:

**§ C30-5. Transition Provisions.**

A.) Any reference to the Suffolk County Ethics Commission, its members, chairman or executive director in any other resolution, local law, Charter law, ordinance, rule, or regulation of the County of Suffolk or in any state or federal law, rule, or regulation, shall be construed in the first instance as reference to the Board of Ethics, its members, chairperson or executive director, anything in any other law, rule or regulation to the contrary notwithstanding.

B.) For calendar year 2012 only, the Board, by a supermajority vote of its total membership, may extend the deadline referenced in any local law, charter law, resolution, rule or regulation applicable to the Board to a date deemed appropriate by the Board provided, however, that the deadline for filing financial disclosure statements may not be extended beyond December 31, 2012 and no other 2012 deadline may be extended beyond June 30, 2013.

C.) All property and equipment heretofore associated with, and utilized by, the Ethics Commission but inventoried to the Law Department, and all other property, equipment and records and confidential files associated with, and utilized by, the Ethics Commission wherever situated shall be transferred and delivered to the Board of Ethics. For purposes of this subdivision, records and confidential files shall be construed broadly to include, but not be limited to financial disclosure forms, opinions, requests for opinions, budgets, procurement documents, contracts, vouchers, requisitions, records of accounts, if any, and correspondence, notes and documents in any form whatsoever created or used in the ordinary course of business of the Ethics Commission.

III. A new subdivision (G) is hereby added to section 30-2 of Article XXX of the Suffolk County Administrative Code as follows:

**ARTICLE XXX  
Board of Ethics**

\*\*\*

G.) The Board may utilize interactive on-line, web-based technologies to satisfy the ethics training requirements set forth herein and to publish and distribute the ethics booklet and training materials.

**Section 3. Applicability.**

This law shall have retroactive applicability and apply to all actions occurring on or after March 28, 2012.

**Section 4. Severability.**

If any clause, sentence, paragraph, subdivision, section, or part of this law or the application thereof to any person, individual, corporation, firm, partnership, entity, or circumstance shall be adjudged by any court of competent jurisdiction to be invalid or unconstitutional, such order or judgment shall not affect, impair, or invalidate the remainder thereof, but shall be confined in its operation to the clause, sentence, paragraph, subdivision, section, or part of this law, or in its application to the person, individual, corporation, firm, partnership, entity, or circumstance directly involved in the controversy in which such order or judgment shall be rendered.

**Section 5. SEQRA Determination.**

This Legislature, being the State Environmental Quality Review Act (SEQRA) lead agency, hereby finds and determines that this law constitutes a Type II action pursuant to Section 617.5(c)(20) and/or (27) of Title 6 of the NEW YORK CODE OF RULES AND REGULATIONS (6 NYCRR) and within the meaning of Section 8-0109(2) of the NEW YORK ENVIRONMENTAL CONSERVATION LAW as a promulgation of regulations, rules, policies, procedures, and legislative decisions in connection with continuing agency administration, management and information collection. The Suffolk County Council on Environmental Quality (CEQ) is hereby directed to circulate any appropriate SEQRA notices of determination of non-applicability or non-significance in accordance with this law.

**Section 6. Effective Date.**

This law shall take effect immediately upon filing with the Office of the Secretary of State.

[ ] Brackets denote deletion of existing language  
\_\_\_\_ Underlining denotes addition of new language

DATED: August 21, 2012

APPROVED BY:

/s/ Steven Bellone  
County Executive of Suffolk County

Date: August 24, 2012

After a public hearing duly held on August 22, 2012  
Filed with the Secretary of State on September 4, 2012

**Section 3. Applicability.**

This law shall have retroactive applicability and apply to all actions occurring on or after March 28, 2012.

**Section 4. Severability.**

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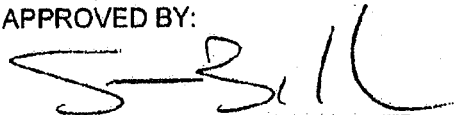
**Section 6. Effective Date.**

This law shall take effect immediately upon filing with the Office of the Secretary of State.

[ ] Brackets denote deletion of existing language  
\_\_\_ Underlining denotes addition of new language

DATED: August 21, 2012

APPROVED BY:



County Executive of Suffolk County

Date: 8.24.2012

After a public hearing duly held on August 22, 2012  
Filed with the Secretary of State on September 4, 2012

SUFFOLK COUNTY  
County Legislature  
RIVERHEAD, NY



*This is to Certify That I, TIM LAUBE, Clerk of the County Legislature of the County of Suffolk, have compared the foregoing copy of resolution with the original resolution now on file in this office, and which was duly adopted by the County Legislature of said County on August 21, 2012 and that the same is a true and correct transcript of said resolution and of the whole thereof.*

*In Witness Whereof, I have hereunto set my hand and the official seal of the County Legislature of the County of Suffolk.*

*Tim Laube*

Clerk of the Legislature

Intro. Res.

1837

Res. No.

794

August 21, 2012

**Motion:**

Romaine, Schneiderman, Browning, Muratore, Anker  
 Calarco, Montano, Cilmi, Lindsay, Hahn, Barraga,  
 Kennedy, Nowick, Horsley, Gregory, Stern, D'Amaro, Spencer

**Co-Sponsors:**

Romaine, Schneiderman, Browning, Muratore, Anker  
 Calarco, Montano, Cilmi, Lindsay, Hahn, Barraga,  
 Kennedy, Nowick, Horsley, Gregory, Stern, D'Amaro, Spencer

**Second:**

Romaine, Schneiderman, Browning, Muratore, Anker  
 Calarco, Montano, Cilmi, Lindsay, Hahn, Barraga,  
 Kennedy, Nowick, Horsley, Gregory, Stern, D'Amaro, Spencer

LD	Legislator	Yes	No	Abs	NP	R
1	Edward P. ROMAINÉ					
2	Jay H. SCHNEIDERMAN					
3	Kate M. BROWNING					
4	Thomas MURATORE					
5	Kara HAHN					
6	Sarah S. ANKER					
7	Rob CALARCO					
9	Ricardo MONTANO					
10	Thomas CILMI					
11	Thomas F. BARRAGA					
12	John M. KENNEDY, JR.					
13	Lynne C. NOWICK					
15	DuWayne GREGORY					
16	Steven H. STERN					
17	Lou D'AMARO					
18	William SPENCER					
14	Wayne R. HORSLEY, D.P.O.					
8	William J. LINDSAY, P.O.					
Totals		15	—	3	—	—

**MOTION**

☒ Approve  
 \_\_\_ Table: \_\_\_\_\_  
 \_\_\_ Send To Committee  
 \_\_\_ Table Subject To Call  
 \_\_\_ Lay On The Table  
 \_\_\_ Discharge  
 \_\_\_ Take Out of Order  
 \_\_\_ Reconsider  
 \_\_\_ Waive Rule \_\_\_\_\_  
 \_\_\_ Override Veto  
 \_\_\_ Close  
 \_\_\_ Recess

APPROVED ☒ FAILED \_\_\_\_\_  
 No Motion \_\_\_\_\_ No Second \_\_\_\_\_

**RESOLUTION DECLARED**

☒ ADOPTED  
 \_\_\_ NOT ADOPTED

Roll Call \_\_\_\_\_ Voice Vote ☒


Tim Laube, Clerk of the Legislature



# Exhibit 11

## SUFFOLK COUNTY BOARD OF ETHICS



335 Yaphank Avenue  
Yaphank, New York 11980

### **Resolution 001/2013**

**Dated January 16, 2013**

WHEREAS, the Board of Ethics wishes to memorialize the duties and responsibilities of the newly created position of Executive Director; and

WHEREAS, Section C30-4(B) of the Suffolk County Charter authorizes the Board of Ethics, by a majority of its members, to delegate authority to its Executive Director, provided such delegation be in writing;

NOW THEREFORE,

The Board of Ethics hereby affirms that the duties of the Executive Director shall be as set forth in the Suffolk County Department of Civil Service Certification for position No. 12-1207, and authorizes the Executive Director to perform such duties; and

The Board hereby authorizes the Executive Director to perform the following functions on behalf of the Board, in furtherance of the Board's duties set forth in Section C30-3 of the Charter:

1. Conduct research, consult with other ethics agencies, trainers, ethics professionals, professional organizations, county departments, and governmental agencies to assist in the development of training materials and programs.
2. Contact persons requesting advisory opinions to request additional information, gather information from other county departments and other sources as necessary to fully brief the Board on the facts surrounding the matter for which an advisory opinion is requested, while maintaining the confidentiality of the person requesting such opinion. Consult with such legal counsel as authorized by the Board. Draft Advisory Opinions for the Board's consideration.
3. Contact heads of Departments and Boards and meet with them or their representatives to comply with statutory deadlines of Financial Disclosure Statements
4. When a written complaint is filed with the Board, gather documents and information relating to specific complaints of ethics violations, and prepare reports of such fact finding and recommendations of actions for the Board's review.

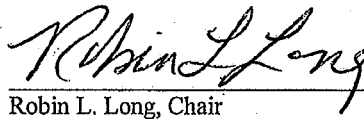
5. The Executive Director shall not conduct any further fact finding absent a finding of reasonable cause by the Board.
6. Draft Board Rules, Complaint Procedures, and Hearing Procedures to be presented to the Board for majority vote.
7. In consultation with the Board, draft recommended budget and annual reports to the Legislature and County Executive.
8. Oversees and administers access to the records of the Board.
9. Assists the Board in the conduct of meetings and hearings. Tasks are conducted with assistance from consultant staff if applicable (e.g. stenographic services).

The authority delegated by this Resolution shall not include the authority to issue written advisory opinions, promulgate rules, issue subpoenas, issue final determinations of violation or make final recommendations of, or impose penalties.

Now, on a motion of Linda Spahr, seconded by Richard Halverson

Be It Resolved that the above duties and responsibilities of the newly created position of Executive Director be adopted, as amended, as Resolution No. 001-2013.

Upon a vote being taken, the motion was approved. (5-0-0)

  
Robin L. Long, Chair

# Exhibit 12

## SUFFOLK COUNTY BOARD OF ETHICS



335 Yaphank Avenue  
Yaphank, New York 11980

### **Resolution 002/2013**

**Dated January 16, 2013**

#### ***SUFFOLK COUNTY BOARD OF ETHICS MISSION STATEMENT***

WHEREAS, the Suffolk County Board of Ethics wishes to adopt the following Mission Statement as amended:

**I. Abbreviated Version:**

“The Mission of the Suffolk County Board of Ethics is to practice and promote ethical literacy and conduct in government through Training, Transparency, and Trust.”

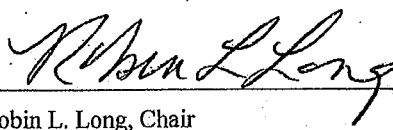
**II. Full Version:**

“The Mission of the Suffolk County Board of Ethics is to practice and promote ethical literacy and conduct in government through training, transparency, and trust. In order to accomplish the Mission, the Suffolk County Board of Ethics shall maintain confidentiality, adhere to its own Code of Ethics, engage in outreach and training of public officials and employees, and recommend new laws to advance the Mission of ethical compliance.”

Now, on a motion of Heather Palmore, seconded by Linda Spahr

Be It Resolved that the above abbreviated and full version statements be adopted, as amended, as the Suffolk County Board of Ethics' Mission Statement.

Upon a vote being taken, the motion was approved (5-0-0)

  
\_\_\_\_\_  
Robin L. Long, Chair

# Exhibit 13

## SUFFOLK COUNTY BOARD OF ETHICS



335 Yaphank Avenue  
Yaphank, New York 11980

### **Resolution 003/2013**

Dated January 30, 2013

WHEREAS, Pursuant to Local Law 56-2011, enacting Article 30 of the Suffolk County Charter, under §C30-3, the Suffolk County Board of Ethics hereby promulgates procedural rules to implement the provisions of Chapter 77 of the Suffolk County Administrative Code and will be made available to the public on the County website.

#### **Suffolk County Board of Ethics Complaint Procedure**

1. A Complainant does not have to request confidentiality, all complaints are confidential under Article §30-8 of the Suffolk County Board of Ethics.
2. The Suffolk County Board of Ethics, upon receiving a written complaint will:
  - a. Make an initial determination that there is reasonable cause to believe that a public servant has violated a provision of Chapter 77 or other applicable provision of law,
  - b. Determine if there is no reasonable cause to believe that a public servant has committed a violation, then the Board will dismiss the Complaint.
3. All Complaints must provide the following to the extent the information is available:
  - a. The name of the individual(s) who is (are) the subject of the Complaint.
  - b. The time, date, and location of the alleged violation.
  - c. A detailed description of facts as to the alleged violation.
  - d. The complainant's association and/or affiliation to the person (s) who is (are) the subject of the Complaint.

- e. The name and contact information (phone number, address, email, fax) of the individual Complainant or referring agency/department.
  - f. Any supporting documents, including but not limited to: emails, contracts, photographs, invoices, statements of witnesses, and audio visual recordings will be reviewed for probative value and included in the Board's reasonable cause determination of conducting a further investigation, hearing, or dismissal.
4. All Complaints will be assigned a Complaint number and the Complainant will receive a confirmation that the Complaint was received.
  5. The Suffolk County Board of Ethics and its staff will catalog all Complaints by the assigned Complaint number.
  6. The Suffolk County Board of Ethics Board Members, Executive Director, and Staff may not provide assistance or advice to the Complainant in preparing the Complaint for submission to the Board of Ethics. Upon review of the Complaint, additional information may be requested from the Complainant by the Suffolk County Board of Ethics and its staff.
  7. Upon review of the complaint and evidence, the Executive Director and staff shall gather further facts in order to present a finding of facts and recommendation of reasonable cause based upon credible evidence to the Board.
  8. The Suffolk County Board of Ethics will notify the Complainant of its determination dismissing the complaint or to conduct a further investigation with 45 days of receipt.
  9. The Board can refer an alleged violation to the head of the agency served by the public servant if related disciplinary charges are pending against the public servant.
  10. The Board will respond to a public servant or supervisory official of such public servant request to the Board to review and make a determination regarding past or ongoing action of such public servant.
  11. The Board, on its own motion, may review a past or ongoing action of a public servant, in the same manner as a complaint received by the Board from a member of the public.
  12. Dismissal of a Complaint does not preclude the Complainant from renewing a Complaint with additional documentation for the Suffolk County Board of Ethics to review. Upon the Suffolk County Board of Ethics' determination that three unfounded complaints were filed in the same 6 month period from the same matter, the Board has the right to refuse



any additional identical complaints from said Complainant during the remainder of that 6 month time period.

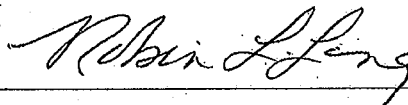
13. The Suffolk County Board of Ethics may amend the Complaint Procedure. Amendments are not retroactive and are effective on the date they are adopted by the Board.
14. The Suffolk County Board of Ethics does not accept emailed complaints.
15. Complaints can be made by fax at : (631) 852-4041
16. Complaints can be hand delivered or mailed to the Suffolk County Board of Ethics at:

Suffolk County Board Of Ethics  
335 Yaphank Avenue  
Yaphank, New York 11980

Now, on a motion of Richard Halverson seconded by Linda Spahr

Be It Resolved that the above complaint procedure be adopted, as amended, by the Suffolk County Board of Ethics.

Upon a vote being taken, the motion was approved. (5-0-0)

  
\_\_\_\_\_  
Robin L. Long, Chair

# Exhibit 14

## **SUFFOLK COUNTY BOARD OF ETHICS**



335 Yaphank Avenue  
Yaphank, New York 11980

### **Resolution 004/2013**

**Dated: January 30, 2013**

#### ***SUFFOLK COUNTY BOARD OF ETHICS ADVISORY OPINION PROCEDURES***

WHEREAS, the Suffolk County Board of Ethics wishes to adopt the following advisory opinion procedure:

##### **Suffolk County Board of Ethics Advisory Opinion Procedures**

1. County Officers, county employees and any other parties subject to or affected by the Code of Ethics may submit requests for advisory opinions from the Board of Ethics with respect to proposed future conduct or action by a public servant. All such requests for Advisory Opinions shall be kept confidential.
2. All Advisory Opinion requests will:
  - a. Be in writing;
  - b. Be signed by the requestor;
  - c. Identify all relevant facts and circumstances;
  - d. Be directed to the Executive Director or Chair of the Board.
3. Upon receipt of a written request for an advisory opinion, the Executive Director shall acknowledge the request in writing.
4. The Executive Director may conduct fact-finding and background research which may include, but is not limited to, legal research, departmental policies, and conferring with Board Counsel. The Executive Director shall prepare a summary of fact finding to be presented to the Board.

5. The Board of Ethics shall consider requests for Advisory Opinions at a regular or special meeting. The Board shall determine whether requests are within the jurisdiction of the Board. The Board may defer or extend its deliberations pending the receipt of additional information.
6. For requests that the Board determines are within its jurisdiction and for which the Board has sufficient information, the Board, shall determine whether or not it will issue an opinion. In determining whether to issue an opinion, the Board may consider the following general factors:
  - a. Would an opinion assist the requester and guide proposed future conduct;
  - b. Is the issue one of general application to others who are subject to the Code of Ethics;
  - c. Has the Board previously issued an opinion on the issue or substantially the same issue, and if so, should the previous opinion be reconsidered due to new facts or circumstances;
  - d. If the matter is currently under an administrative, civil, or criminal investigation; and
  - e. The existence of a conflict of interest by the Board that requires recusal.
7. If the Board of Ethics determines the subject of a request for an advisory opinion is not within the jurisdiction of the Board, or if the Board determines it will not issue an opinion based on the facts before it, the Executive Director shall prepare a letter from or on behalf of the Chair of the Board to the requester explaining the determination of the Board.
8. If during the fact-finding process, the Board of Ethics determines additional information about the request is needed, the Executive Director shall prepare and deliver a letter on behalf of the Board to the requester explaining the need for additional information.
9. Within 45 days after completion of fact-finding, the Board will issue a requested Advisory Opinion. If the Board is unable to issue the Advisory Opinion within 45 days, it shall so advise the person who requested the opinion before the 45 days has expired. All Advisory Opinions shall be issued within 90 days after fact finding is completed.
10. Every final advisory opinion shall be preceded by the following note:

NOTICE: THIS ADVISORY OPINION IS SUBJECT TO REVISION OR WITHDRAWAL. Applications requesting its modification, clarification, or withdrawal must be made in accordance with Suffolk County Board of Ethics rules unless an application for the revision or withdrawal of an advisory opinion is

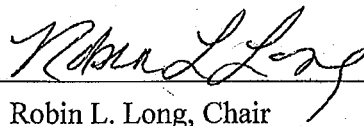
timely received, it shall become final. Nothing shall prohibit the Suffolk County Board of Ethics, on its own motion, from reconsidering, revising or withdrawing an advisory opinion at any time.

11. The Chair shall sign the final advisory opinion of the Board and promptly forward the signed opinion to the requestor.
12. The requestor shall have 15 business days from the time the Advisory Opinion has been rendered (excluding Saturday, Sunday, or a legal holiday) to file a request for reconsideration supported by new material facts submitted to the Board.
13. Advisory Opinions shall be designated as follows: Advisory Opinion [year-number].
14. A public servant whose conduct or action is the subject of an Advisory Opinion shall not be subject to penalties or sanctions by virtue of acting or failing to act due to reasonable reliance on the opinion, unless material facts were omitted or misstated in the request for an opinion.
15. Publication: The final Advisory Opinion will be reviewed and redacted of all identifying information and will be published on the Suffolk County Board of Ethics website.
16. Release of a copy of the un-redacted version of the Advisory Opinion from anyone other than the requester is prohibited. The Board shall provide all documents requested by the Suffolk County Legislature or a duly authorized committee of the Legislature that is exercising oversight of the Board of Ethics. Such a request for records must be approved by a two-thirds (2/3) vote of the Legislature via a procedural motion.
17. Requests for advisory opinions shall be confidential, but the Board shall make public its advisory opinions with such deletions as may be necessary to prevent disclosure of the identity of any public servant or other involved party.

Now, on a motion of Thomas Isles, seconded by Linda Spahr

Be It Resolved that the above advisory opinion procedure, as amended, be adopted by the Suffolk County Board of Ethics.

Upon a vote being taken, the motion was approved. (5-0-0)

  
Robin L. Long, Chair

# Exhibit 15

**FOR OFFICE USE ONLY:**

COMPLAINT NUMBER: \_\_\_\_\_ DATE RECEIVED: \_\_\_\_\_

EBCF-2013  
2 Page Form



## SUFFOLK COUNTY BOARD OF ETHICS

335 Yaphank Avenue, Yaphank, New York 11980 • Office 631.852.4038 • Fax 631.852.4041

### Ethics Violation Complaint Form

#### Complainant's Information

Your Name: \_\_\_\_\_

Phone Number: \_\_\_\_\_

Fax Number: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

FOR OFFICE USE ONLY

(STAMP RECEIVED)

#### Alleged Violation

Who is the complaint against? : \_\_\_\_\_

What is your association or affiliation to the person (s) you are filing a complaint against? : \_\_\_\_\_

How is this person associated to Suffolk County?

"X" Box that applies (Required) : ☐ COUNTY EMPLOYEE ☐ ELECTED OFFICIAL

☐ BOARD/COMMITTEE/COMMISSION/COUNCIL MEMBER

Date and Time Alleged Violation Occurred: \_\_\_\_\_

Location and Address: \_\_\_\_\_

\_\_\_\_\_

Please explain your complaint fully, if insufficient space is provided additional sheets may be attached, providing a detailed description of the facts and the actions of the person (s) named on page 1 of this form. Include relevant dates and the names and addresses of persons whom you believe may be witnesses.

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Identify below any supporting documents, i.e. Emails, contracts, photographs, invoices, statements of witnesses, and audio/visual recordings. Attach all supporting documents to this form.

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Please read statement below, sign and date.

I, \_\_\_\_\_, hereby acknowledge that making a false statement herein is  
(Insert Your Name)  
punishable as a misdemeanor under section 210.45 of the New York State Penal Law.

Dated: \_\_\_\_\_

Complainant's Signature: \_\_\_\_\_

Printed Name: \_\_\_\_\_

**NOTICE:** It shall be unlawful for any person to make a complaint or threaten to make a complaint to the Board against a public servant, or to offer to withdraw a complaint against a public servant, in order to improperly influence that public servant's vote, opinion, judgment, action, decision or exercise of discretion as a public servant. Such conduct will constitute a violation punishable by a fine of not more than \$1,500, or imprisonment of not more than 15 days, or both.



# Exhibit 16

**FOR OFFICE USE ONLY:**

AO REQUEST NUMBER: \_\_\_\_\_ DATE RECEIVED: \_\_\_\_\_

EBAO-2013  
1 Page Form



## SUFFOLK COUNTY BOARD OF ETHICS

335 Yaphank Avenue, Yaphank, New York 11980 • Office 631.852.4038 • Fax 631.852.4041

### Advisory Opinion Request Form

#### Requestor's Information

Your Name: \_\_\_\_\_

Department/Agency/Committee: \_\_\_\_\_

Phone Number: \_\_\_\_\_

Fax Number: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

FOR OFFICE USE ONLY

(STAMP RECEIVED)

Detailed Description of Request (attach additional pages if necessary): \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Have you previously received an advisory opinion on this matter? : ☐ Yes ☐ No

Dated: \_\_\_\_\_

Requestor's Signature: \_\_\_\_\_

Printed Name: \_\_\_\_\_

# Exhibit 17

**FOR OFFICE USE ONLY:**

RECUSAL NUMBER: \_\_\_\_\_ DATE RECEIVED: \_\_\_\_\_

EBRL-2013  
1 Page Form



## SUFFOLK COUNTY BOARD OF ETHICS

335 Yaphank Avenue, Yaphank, New York 11980 • Office 631.852.4038 • Fax 631.852.4041

### Recusal Form

**Directions:**

Please complete the statement below, sign and file with the office of the Suffolk County Board of Ethics at 335 Yaphank Avenue, Yaphank, New York 11980.

**STATEMENT:**

**Pursuant to Suffolk County Code §77-7  
"Recusal and Disclosure."**

FOR OFFICE USE ONLY

(STAMP RECEIVED)

A. DESCRIPTION OF MATTER REQUIRING ACTION: \_\_\_\_\_

B. NATURE OF POTENTIAL CONFLICT: \_\_\_\_\_

C. I SHALL REQUEST THAT THE PRESIDING OFFICER EXCUSE ME FROM THE

VOTE ON \_\_\_\_\_ BECAUSE: \_\_\_\_\_

**Signed under the penalties of perjury:**

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Printed Name)

# Exhibit 18

# Suffolk County Board of Ethics Subject Matter Index

as required by SOP No. B-01 Dated 3/23/2006

Created January 2013

Matter	Availability or Non-Availability	Action to be taken	Basis for Exemption
1 Advisory Opinions (Redacted)	Available	SOP Sec. 6b (18) (a)(b)(c); SOP Sec. 6b(4)a-d and 6b (6)(d-f); SOP sec. 6b(19)(a)	
2 Administrative Staff Manuals	Available	SOP Sec. 6b(4)a-d and 6b (6)(d-f); SOP sec. 6b(19)(a)	
3 Agendas	Available	SOP Sec. 6b(4)a-d and 6b (6)(d-f); SOP sec. 6b(19)(a)	
4 Advertising Publications	Available	SOP Sec. 6b(4)a-d and 6b (6)(d-f); SOP sec. 6b(19)(a)	
5 Budgets	Available	SOP Sec. 6b(4)a-d and 6b (6)(d-f); SOP sec. 6b(19)(a)	
6 Board Resolutions	Available	SOP Sec. 6b(4)a-d and 6b (6)(d-f); SOP sec. 6b(19)(a)	
7 Complaints	Not Available	EXEMPT	SOP Sec. 6b (16)(a-f), (17)(a-f); SOP sec. 6b(19)(a)
8 Contract Negotiations	Not Available	EXEMPT	SOP Sec. 6b (16)(a-f), (17)(a-f); SOP sec. 6b(19)(a)
9 Codes	Available	SOP Sec. 6b(4)a-d and 6b (6)(d-f); SOP sec. 6b(19)(a)	
10 Correspondence	Available	SOP Sec. 6b(4)a-d and 6b (6)(d-f); SOP sec. 6b(19)(a)	
11 Employee Lists	Available	SOP Sec. 6b(4)a-d and 6b (6)(d-f); SOP sec. 6b(19)(a)	
12 Financial Disclosure Statements	Available	SOP Sec. 6b(4)a-d and 6b (6)(d-f); SOP Sec. 6b (18) (a)(b)(c); SOP sec. 6b(19)(a)	
13 Forms (Standard Blanks)	Available	SOP Sec. 6b(4)a-d and 6b (6)(d-f); SOP sec. 6b(19)(a)	
14 Inter-Agency Correspondence	Available	SOP Sec. 6b(4)a-d and 6b (6)(d-f); SOP sec. 6b(19)(a)	
15 Instructions to Staff affecting the public	Available	SOP Sec. 6b(4)a-d and 6b (6)(d-f); SOP sec. 6b(19)(a)	
16 Lobbyist Reports	Available	SOP Sec. 6b(4)a-d and 6b (6)(d-f); SOP sec. 6b(19)(a)	
17 Minutes of Board Meetings	Available	SOP Sec. 6b(4)a-d and 6b (6)(d-f); SOP sec. 6b(19)(a)	
18 Notices of Public Meetings	Available	SOP Sec. 6b(4)a-d and 6b (6)(d-f); SOP sec. 6b(19)(a)	
19 Press Releases	Available	SOP Sec. 6b(4)a-d and 6b (6)(d-f); SOP sec. 6b(19)(a)	
20 Supply Orders	Available	SOP Sec. 6b(4)a-d and 6b (6)(d-f); SOP sec. 6b(19)(a)	

# Exhibit 19

# Code of Ethics Booklet

## ETHICS AND ACCOUNTABILITY

### COUNTY OF SUFFOLK



Revised February 2013

Printed February 2013

Version 1.0



## **SUFFOLK COUNTY BOARD OF ETHICS**

“The Mission of the Suffolk County Board of Ethics is to practice and promote ethical literacy and conduct in government through Training, Transparency, and Trust.”

### **MEMBERS OF THE BOARD**

ROBIN L. LONG, ESQ., CHAIR  
THOMAS A ISLES, AICP, VICE CHAIR  
RICHARD F. HALVERSON, PH.D.  
HEATHER M. PALMORE, ESQ.  
LINDA A. SPAHR, ESQ.

### **EXECUTIVE DIRECTOR**

SAMANTHA SEGAL, ESQ.

### **SECRETARY**

DARLENE M. KURRASS

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**NOTICE:** Forms can be downloaded from the Suffolk County Board of Ethics webpage or requested from the Office of the Board of Ethics. Please see back cover for more information.

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## **SUFFOLK COUNTY CHARTER**

### **ARTICLE XXX. BOARD OF ETHICS**

#### **§ C30-1. BOARD OF ETHICS ESTABLISHED.**

There is hereby established a Board of Ethics.

#### **§ C30-2. MEMBERSHIP OF THE BOARD.**

- A.** The Board of Ethics shall consist of five members. Two members will be appointed by the County Executive. The Presiding Officer, Majority Leader and Minority Leader of the Suffolk County Legislature will each appoint one member. The appointment of all members will be subject to approval by the County Legislature. The Board shall elect one of its members to serve as Chairperson.
- B.** No more than three members of the Board shall belong to the same political party. No person, while serving as a member of the Board, shall hold any public office, seek election to any public office, be a public employee in any jurisdiction, have business dealings with the County or any elected official, hold any political party office, appear as a lobbyist before the County or make a contribution to any County elected official or candidate for County office.
- C.** The two members appointed to the Board by the County Executive shall be appointed to initial terms of two years; the members appointed by the Majority Leader and the Minority Leader shall be appointed for initial terms of three years; the member appointed by the Presiding Officer shall be appointed for an initial term of four years. Thereafter, all members will be appointed for terms of four years.
- D.** Any vacancy occurring on the Board other than by expiration of a term shall be filled by nomination of a successor by the appropriate appointing authority within 60 days of the creation of the vacancy. The County Legislature shall act on such nomination within 60 days of an appointment resolution being laid on the table for consideration.
- E.** Three members of the Board shall constitute a quorum and the Board shall have the power to act by a majority vote of the entire membership of the Board except as otherwise provided by this article.
- F.** Members shall receive compensation of \$200 for each Board meeting they attend; such compensation shall not exceed \$400 per month.

- G. Members may be removed by their appointing authority for substantial neglect of duty, gross misconduct in office, inability to discharge the powers or duties of office or violation of the requirements of Subsection B of this section, after written notice and opportunity to reply. The removal of members appointed by the Presiding Officer, Majority Leader and Minority Leader must be ratified by the adoption of a procedural motion by the County Legislature.

§ C30-3. POWER AND RESPONSIBILITIES.

- A. The Board shall have the authority and responsibility to:
- (1) Provide ethics training and education to Suffolk County's public servants;
  - (2) Render advisory opinions to Suffolk County's public servants on ethics and conflict of interest issues;
  - (3) Make financial disclosure statement forms available to persons required to file pursuant to Chapter 77, Part 1, Article II, of the Suffolk County Code, and review such statements; and
  - (4) Conduct investigations and hearings to determine if ethics violations have occurred and to impose penalties as authorized by local law.
- B. The Board shall promulgate rules as are necessary to implement the provisions of Chapter 77, Part 1, of the Suffolk County Code and to govern its procedures. Such rules shall be made publicly available and posted on the County's website.

§ C30-4. STAFFING; FACILITIES.

- A. The Board, by a majority vote of the Board's entire membership, shall appoint an executive director, a secretary, independent counsel and such other staff as may be necessary to exercise its powers and fulfill its obligations. The power to appoint and retain an executive director, a secretary, independent counsel and other staff shall be subject only to available appropriations provided therefor in the County operating budget, and the actual appointment and filling of such positions shall not be subject to approval by the County Executive or the Budget Office. The Board shall be deemed the appointing authority for all such personnel. The executive director, a secretary, independent counsel and support staff shall not be part of the Suffolk County Department of Law and shall not be supervised by the Department of Law. The Board, its staff and funding shall be treated as a separate agency for purposes of presentation and adoption in the annual County operating budget.  
**[Amended 8-21-2012 by L.L. No. 45-2012]**
- B. The Board may delegate authority to the executive director and independent counsel and such delegation shall be defined in writing, provided that the executive director and independent counsel shall not be authorized to issue

§ C30-4.

STAFFING; FACILITIES

written advisory opinions, promulgate rules, issue subpoenas, issue final determinations of violation or make final recommendations of, or impose, penalties.

- C. The Board's office(s) shall not be sited in a building occupied by either the County Executive or the County Legislature.

§ C30-5. TRANSITION PROVISIONS.

**[Added 8-21-2012 by L.L. No. 45-2012]**

- A. Any reference to the Suffolk County Ethics Commission, its members, chairman or executive director in any other resolution, local law, charter law, ordinance, rule, or regulation of the County of Suffolk or in any state or federal law, rule, or regulation shall be construed in the first instance as reference to the Board of Ethics, its members, chairperson or executive director, anything in any other law, rule or regulation to the contrary notwithstanding.
- B. For calendar year 2012 only, the Board, by a supermajority vote of its total membership, may extend the deadline referenced in any local law, charter law, resolution, rule or regulation applicable to the Board to a date deemed appropriate by the Board; provided, however, that the deadline for filing financial disclosure statements may not be extended beyond December 31, 2012 and no other 2012 deadline may be extended beyond June 30, 2013.
- C. All property and equipment heretofore associated with, and utilized by, the Ethics Commission but inventoried to the Law Department, and all other property, equipment and records and confidential files associated with, and utilized by, the Ethics Commission wherever situated, shall be transferred and delivered to the Board of Ethics. For purposes of this subdivision, records and confidential files shall be construed broadly to include, but not be limited to, financial disclosure forms, opinions, requests for opinions, budgets, procurement documents, contracts, vouchers, requisitions, records of accounts, if any, and correspondence, notes and documents in any form whatsoever created or used in the ordinary course of business of the Ethics Commission.

## SUFFOLK COUNTY ADMINISTRATIVE CODE

### Article XXX. BOARD OF ETHICS

**[Added 10-11-2011 by L.L. No. 56-2011 Editor's Note: This local law also repealed former Art. XXX, Code of Ethics, as amended.]**

#### § A30-1. DEFINITIONS.

**As used in this article, the following terms shall have the meanings indicated:**

**COUNTY EMPLOYEE** All elected officials and public servants who are employed by the County and compensated for their services. This term shall not include members of the County's occupational licensing boards.

**ELECTED OFFICIAL** A person holding office as County Executive, District Attorney, Clerk, Comptroller, Treasurer, Sheriff or member of the County Legislature.

**PUBLIC SERVANT** All officials, officers and employees of the County, whether paid or unpaid.

#### § A30-2. TRAINING AND EDUCATION.

- A. The Board of Ethics shall have the responsibility of informing public servants and assisting their understanding of the conflicts of interest requirements set forth in Chapter 77, Part 1, Article I, of the Suffolk County Code. In fulfilling this responsibility, the Board shall develop a plain-language guide to conflict of interest rules and conduct at least two ethics training seminars in each even-numbered year and one training seminar in each odd-numbered year. The Board is authorized to update the ethics training program and ethics booklet as appropriate and necessary.
- B. All elected officials shall receive mandatory ethics training at the first available ethics training seminar after the elected official takes office.
- C. All County employees appointed by elected officials, including department heads and division heads, shall receive mandatory ethics training at the first available training seminar conducted after the effective date of their appointment.
- D. All County employees hired or qualified to serve by the County of Suffolk after the effective date of this article shall receive the ethics booklet prepared by the Board at their orientation session and shall sign a statement that they have received the booklet and understand that they must abide by the conflict of

interest rules contained therein during their employment with the County. Such statement shall be maintained in the employee's personnel file.

- E. Public servants who are not County employees shall receive the ethics booklet from their appointing authority within 30 days after they are qualified to serve the County and shall sign a statement that they have received the booklet and understand that they must abide by the conflict of interest rules contained therein during the time of their service with the County. Such statement shall be maintained by the public servant's appointing or supervising authority.
- F. The failure of a public servant to receive the training, to receive the ethics guide, or to sign the statement required by this section shall have no effect on the duty of the public servant to comply with the requirements of Chapter 77, Part 1, of the Suffolk County Code.
- G. The Board may utilize interactive on-line, web-based technologies to satisfy the ethics training requirements set forth herein and to publish and distribute the ethics booklet and training materials.  
**[Added 8-21-2012 by L.L. No. 45-2012]**

§ A30-3. ADVISORY OPINIONS.

- A. The Board will render advisory opinions with respect to all matters covered by Chapter 77, Part 1, Article I, of the Suffolk County Code or any other applicable provision of law governing conflicts of interest, on the request of a public servant or a supervisory official of a public servant. The request shall be in such form as the Board may require and shall be signed by the person making the request. The Board may ask a person who is seeking an advisory opinion to appear before the Board to provide further information pertinent to the requested opinion. The opinion of the Board will be based on such facts as are presented in the request or subsequently submitted in a written, signed document or which are adduced when the person requesting the opinion appears before the Board.
- B. Advisory opinions shall be issued only with respect to proposed future conduct or action by a public servant. A public servant whose conduct or action is the subject of an advisory opinion shall not be subject to penalties or sanctions by virtue of acting or failing to act due to reasonable reliance on the opinion, unless material facts were omitted or misstated in the request for an opinion. The Board may amend a previously issued advisory opinion after giving reasonable notice to the public servant that it is reconsidering its opinion.



- C. The Board will issue a requested advisory opinion within 45 days after it has completed fact finding. If the Board is unable to issue the advisory opinion within 45 days, it shall so advise the person who requested the opinion before the forty-five-day period has expired. In no event shall the Board issue an advisory opinion more than 90 days after it has completed its fact finding.
- D. Requests for advisory opinions shall be confidential, but the Commission shall make public its advisory opinions with such deletions as may be necessary to prevent disclosure of the identity of any public servant or other involved party. The advisory opinions shall be indexed by subject matter and cross-indexed by County Code section, and such index shall be maintained on an annual and cumulative basis.

#### § A30-4. FINANCIAL DISCLOSURE.

The Board shall make financial disclosure statement forms available to all persons required to file pursuant to the requirements of Chapter 77, Part 1, Article II, of the Suffolk County Code. The Board shall review and maintain these statements and otherwise administer and enforce the financial disclosure requirements in accordance with the provisions of Chapter 77, Part 1.

#### § A30-5. COMPLAINTS; REFERRALS.

- A. Whenever a written complaint is received by the Board alleging a violation of Chapter 77, Part 1, Article I, of the Suffolk County Code or other applicable provision of law governing conflicts of interest by a public servant or former public servant, it shall:
  - (1) Dismiss the complaint if it determines that there is no reasonable cause to believe that a public servant has committed a violation; or
  - (2) Make an initial determination that there is reasonable cause to believe that a public servant has violated a provision of Chapter 77, Part 1, or other applicable provision of law; or
  - (3) Refer an alleged violation to the head of the agency served by the public servant if related disciplinary charges are pending against the public servant.
- B. A public servant or supervisory official of such public servant may request the Board to review and make a determination regarding a past or ongoing action of such public servant. Such request shall be reviewed and acted upon by the Board in the same manner as a complaint received by the Board under Subsection A of this section.

- C. The Board, on its own motion, may review a past or ongoing action of a public servant, in the same manner as a complaint received by the Board under Subsection A of this section.
- D. The Board's staff may answer inquiries regarding the procedure involved in making a complaint alleging an ethical violation; however, the executive director, independent counsel and support staff shall not assist any person or entity, other than the Board and its members, in the preparation of a complaint against a public servant alleging a violation of the County's Code of Ethics or other applicable provision of law governing conflicts of interest.  
**[Added 8-21-2012 by L.L. No. 49-2012]**
- E. It shall be unlawful for any person to make a complaint or threaten to make a complaint to the Board against a public servant, or to offer to withdraw a complaint against a public servant, in order to improperly influence that public servant's vote, opinion, judgment, action, decision or exercise of discretion as a public servant. Such conduct will constitute a violation punishable by a fine of not more than \$1,500, or imprisonment of not more than 15 days, or both.  
**[Added 8-21-2012 by L.L. No. 49-2012]**

§ A30-6. HEARINGS.

- A. If the Board makes an initial determination, based on a complaint, review of a financial disclosure statement or other information available to the Board, that there is reasonable cause to believe that a public servant or former public servant has violated a provision of Chapter 77, Part 1, Article I, of the Suffolk County Code or other applicable provision of law, the Board shall notify the public servant of its determination in writing. The notice shall contain a statement of the facts upon which the Board relied for its determination of reasonable cause and a statement of the provisions of the law allegedly violated. The Board shall also inform the public servant of the Board's procedural rules. The public servant shall have a reasonable time to respond and shall have the right to be represented by counsel or any other person.
- B. If, after receiving the public servant's response, the Board determines that there is no reasonable cause to believe that a violation has occurred, the Board shall dismiss the matter and inform the public servant of its decision in writing. If, after considering the public servant's response, the Board determines there remains reasonable cause to believe that a violation has occurred, the Board shall direct a hearing to be held or hold a hearing on the record to determine whether a violation has occurred, or shall refer the matter to the appropriate agency if the public servant is subject to the jurisdiction of any state law or collective bargaining agreement which provides for the conduct of disciplinary proceedings.

- C. If the Board determines, after a hearing or the opportunity for a hearing, that a public servant has committed a violation, it shall issue a decision and order setting forth its conclusions and imposing such penalties as it deems appropriate and, when appropriate, may refer the matter to the District Attorney or other appropriate law enforcement agency. If the Board determines, after a hearing or the opportunity for a hearing, that a public servant has not violated provisions of Chapter 77, Part 1, it shall issue a decision setting forth its conclusion.
- D. The Board shall issue its decisions within 45 days after the completion of a hearing. If the Board is unable to issue its decision within this forty-five-day period, it shall so advise the public servant prior to the expiration of the forty-five-day period. In no event, shall the Board issue its decision more than 90 days after the completion of a hearing.
- E. Hearings of the Board shall not be public unless requested by the public servant. The order and the Board's findings and conclusions shall be made public.
- F. Nothing contained in this section shall prohibit the appointing officer of a public servant from terminating or otherwise disciplining such public servant, where such appointing officer is authorized to do so; provided, however, that such action shall not preclude the Board from exercising its powers and duties under this article with respect to the actions of any such public servant.

§ A30-7. INVESTIGATIONS.

The Board may conduct any investigation necessary to carry out the provisions of this article and Chapter 77, Part 1, of the Suffolk County Code. Pursuant to this power, the Commission may administer oaths and affirmations, subpoena witnesses, compel their attendance and require the production of any books or records which it may deem relevant or material to the investigation. Such subpoenas may only be issued by a supermajority vote of the entire membership of the Board.

§ A30-8. CONFIDENTIALITY.

**[Amended 8-21-2012 by L.L. No. 49-2012]**

- A. Except as otherwise provided by this article, testimony received or any other information obtained by a member of the Board or the staff of the Board in connection with the preparation of an advisory opinion or the investigation of a complaint or referral, or the conduct of a hearing related to a complaint or referral, is confidential and shall not be disclosed by any such individual to any person or entity outside the Board. However, the Board shall provide all documents requested by the Suffolk County Legislature or a duly authorized

committee of the Legislature that is exercising oversight of the Board of Ethics. Such a request for records must be approved by a 2/3 vote of the Legislature via a procedural motion.

- B. Any unauthorized disclosure of confidential information by a member of the Board, or the executive director, independent counsel or staff of the Board, shall be a violation punishable by a fine of not more than \$1,500, or imprisonment of not more than 15 days, or both.

§ A30-9. DISCLOSURE OF POTENTIAL CONFLICT.

**[Added 8-21-2012 by L.L. No. 49-2012 Editor's Note: This local law also renumbered former § A30-9 as § A30-10.]**

A member of the Board shall disclose to the full Board any personal or business relationship he or she may have with a public servant who has requested an advisory opinion or who is the subject of a complaint pending before the Board. If the member does not recuse himself or herself from participating in that particular matter or proceeding, he or she shall file a written statement with the Board explaining why he or she is able to participate fairly, objectively and in the public's interest.

§ A30-10. ANNUAL REPORT.

The Board shall prepare and submit a report to the County Executive and the County Legislature no later than March 1 each year, summarizing the activities of the Board during the preceding calendar year.

## **SUFFOLK COUNTY CODE**

### **Chapter 77. ETHICS AND ACCOUNTABILITY**

#### **PART 1. CODE OF ETHICS AND FINANCIAL DISCLOSURE**

##### **ARTICLE I. CODE OF ETHICS**

###### **§ 77-1. DEFINITIONS.**

**When used in this Part 1, the following terms shall have the meanings indicated:**

**AGENCY** A department, division, bureau, board, commission, advisory committee, office or other agency of County government.

**AGENCY SERVED BY A PUBLIC OFFICIAL** A. In the case of a County employee, the agency employing such employee; or B. In the case of other public servants, the agency which exercises control of the public servant or the agency to whom the public servant reports.

**APPEAR** To make any communication, for compensation, other than those involving ministerial matters.

**ASSOCIATED** A person or firm associated with a public servant includes a spouse, domestic partner, child, parent or sibling; a person with whom the public servant has a business or other financial interest; and each firm in which the public servant has an interest.

**BOARD** The Board of Ethics.

**BUSINESS DEALINGS WITH THE COUNTY** Any transaction with the County involving the sale, purchase, rental, disposition or exchange of any goods, services, or property, or any license, grant or benefit, and any performance with respect to any of the foregoing, but shall not include any transaction involving the public servant's residence or any ministerial matter.

**COUNTY** The County of Suffolk or any agency of the County of Suffolk.

**COUNTY EMPLOYEE** All elected officials and public servants who are employed by the County and compensated for their services, but shall not include members of occupational licensing boards.

**ELECTED OFFICIAL** A person holding office as County Executive, District Attorney, Clerk, Comptroller, Treasurer, Sheriff or member of the County Legislature.

**FIRM** A sole proprietorship, joint venture, partnership, corporation or any other form of business enterprise.

**INTEREST** A financial interest in a firm or a position with a firm held by a public servant, the public servant's spouse, domestic partner or unemancipated child.

**LOBBYIST** A person or firm registered as a lobbyist with the County of Suffolk pursuant to Chapter 580 of the Suffolk County Code or any successor statute thereto.

**MEMBER** A member of the Board of Ethics.

**MINISTERIAL MATTER** An administrative act, including the issuance of a license, permit or other permission of the County, which is carried out in a prescribed manner and which does not involve substantial personal discretion.

**OWNERSHIP INTEREST** An interest in a firm held by a public servant, or the public servant's spouse, domestic partner or unemancipated child, which exceeds 5% of the firm or an investment of \$25,000 in cash or other form of commitment, whichever is less, and any lesser interest in a firm when the public servant, or the public servant's spouse, domestic partner or unemancipated child, is an officer of the firm or exercises managerial control or responsibility regarding such firm, but shall not include interests held in any pension plan, deferred compensation plan or mutual fund, the investments of which are not controlled by the public servant, the public servant's spouse, domestic partner or unemancipated child.

**PARTICULAR MATTER** Any case, proceeding, application, request for a ruling or benefit, determination, contract, investigation, charge, accusation, arrest or similar action which involves a specific party or parties.

**POLITICAL PARTY OFFICER** A chairperson of any County political party committee elected pursuant to § 2-112 of New York Election Law or the chairperson of any duly constituted Town political party committee.

**POSITION** A position in a firm, such as an officer, director, trustee or employee, or any management position, or as an attorney, agent, broker or consultant to the firm, which does not constitute an ownership interest in the firm.

**PUBLIC SERVANT** All officials, officers and employees of the County, whether paid or unpaid.

**SPOUSE** A husband or wife of a public servant who is not legally separated from such public servant.

**SUPERVISOR** Any person having the authority to control or direct the work of a public servant.

**UNEMANCIPATED CHILD** Any son, daughter, stepson or stepdaughter who is under the age of 18, unmarried and living in the household of the public servant.

**§ 77-2. PROHIBITED INTERESTS IN FIRMS DOING BUSINESS WITH THE COUNTY.**

- A. No public servant shall have an ownership interest in a firm which such public servant knows is engaged in business dealings with the department or agency served by such public servant.
- B. No County employee shall have an ownership interest in a firm which such employee knows is engaged in business dealings with the County.
- C. An individual who, prior to becoming a public servant, has an ownership interest which would be prohibited under this section, shall either:
  - (1) Divest of the ownership interest; or
  - (2) Terminate the business dealing with the County; or
  - (3) Disclose to the Board such ownership interest and comply with its order.
- D. A public servant who has an ownership interest and did not know of a business dealing which would cause the interest to be prohibited, but has subsequently gained knowledge of such business dealing; or a public servant who holds an ownership interest which, subsequent to the public servant's acquisition of the interest, enters into a business dealing which would cause the ownership interest to be prohibited; or a public servant, who, by operation of law, obtains an ownership interest which would be prohibited shall disclose to the Board such ownership interest. Further, the public servant will, within 15 days of knowing of the business dealing, either:
  - (1) Divest of the ownership interest; or
  - (2) Terminate the business dealing with the County; or
  - (3) Ask the Board to determine whether such ownership interest, if maintained, would be in conflict with the proper discharge of the public servant's official duties.

§77-2.

PROHIBITED INTERESTS IN FIRMS DOING BUSINESS WITH THE COUNTY

- E. When an individual discloses an ownership interest to the Board pursuant to Subsection C of this section, or a public servant requests that the Board make a determination regarding an ownership interest pursuant to Subsection D, the Board shall issue an order setting forth its determination as to whether or not such interest, if maintained, would be in conflict with the proper discharge of the public servant's official duties. In making such determination, the Board shall take into account the nature of the public servant's duties, the manner in which the interest may be affected by any action of the County, the appearance of conflict and such other factors as the Board deems appropriate. If the Board determines a conflict exists, the Board's order shall require divestiture or such other action as it deems appropriate which may mitigate such conflict.

§ 77-3. PROHIBITED CONDUCT.

- A. A public servant who has an interest in a firm which is not prohibited by § 77-2 shall not take any action as a public servant particularly affecting that interest.
- B. No public servant shall engage in any business, transaction or private employment, or have any financial or private interest which is in conflict with the proper discharge of his or her official duties.
- C. No public servant shall use his or her official position or office, or take or fail to take any action, in a manner which he or she knows or has reason to know may result in a personal financial benefit to himself or herself, a person or firm associated with the public servant, a customer or client of the public servant or any person from whom the public servant has received a gift or any goods or services for less than fair market value, during the preceding 12 months.
- D. No public servant shall disclose any confidential information concerning the property, affairs or government of the County which is obtained as a result of the official duties of such public servant and which is not otherwise available to the public or use such information to advance any financial or private interest of the public servant or of any person associated with the public servant; provided, however, that this shall not prohibit any public servant from disclosing information concerning conduct which the public servant knows or reasonably believes to involve waste, inefficiency, corruption, criminal activity or conflict of interest.
- E. No public servant shall solicit or accept any gift having a value of \$75 or more from any person or firm which such public servant knows is or intends to become engaged in business dealings with the County.



- F. No public servant shall receive compensation for performing any official duty except from the County or accept or receive any gift or gratuity from any person or entity whose interests will be affected by the public servant's official action or whose interests have been affected by the public servant's official action.
- G. No public servant shall solicit, accept or receive any gift or gratuity from a lobbyist.
- H. No public servant shall, for compensation, represent private interests before any County agency or appear directly or indirectly on behalf of private interests in matters involving the County. For a public servant who is not a County employee, this prohibition shall apply only to the agency served by the public servant.
- I. No public servant shall appear as attorney or counsel against the interests of the County in any litigation in which the County is a party, or in any action or proceeding in which the County, or any public servant of the County, acting in the course of official duties, is a complainant, provided that this subsection shall not apply to an elected official representing himself or herself, or to a public servant employed by an elected official who appears as attorney or counsel for that elected official, in any litigation, action or proceeding in which the elected official has standing and authority to participate by virtue of his or her capacity as an elected official. This subsection shall not apply to an elected official who represents himself or herself in an election law matter or to a public servant who represents a defendant in a criminal proceeding. For a public servant who is not a County employee, this prohibition shall apply only to the agency served by the public servant.
- J. No public servant shall coerce or attempt to coerce, by intimidation, threats or otherwise, another public servant to engage in political activities or participate in a political campaign. Participation in a political campaign shall include managing or aiding in the management of a campaign, soliciting votes, circulating nominating petitions or canvassing voters for a particular candidate or performing similar acts which are unrelated to the public servant's duties or responsibilities.
- K. No public servant shall compel, induce or request any person to make a monetary or in-kind contribution to any candidate for elected office, committee or political party under threat of prejudice to, or promise of, advantage in rank, compensation or other job-related status.
- L. No public servant shall attempt to influence the course of any proposed legislation in the County Legislature that will affect an interest of the public

§ 77-3.

PROHIBITED CONDUCT

servant or the interest of a person or firm associated with the public servant without publicly disclosing to the Legislature the nature and extent of the private interest.

- M. No public servant shall give or promise to give any portion of his or her compensation or any money or valuable thing to any person in consideration of having been nominated, appointed, elected or employed as a public servant.
- N. No public servant shall make personal use of County letterhead, personnel, equipment, supplies or resources.

§ 77-4. PROHIBITION ON DUAL OFFICE-HOLDING; OTHER PROVISIONS RELATING TO POLITICAL PARTY OFFICIALS.

- A. No political party officer shall be eligible to serve as an elected official, department commissioner, assistant district attorney or member of any board, commission, authority, or public benefit corporation whose members are appointed by the County Executive or County Legislature.
- B. No elected official shall hold another paid position of employment with the County or a paid position of employment with any department, office, commission, board or agency of the United States of America, New York State, any town or village government, or public benefit corporation created under the provisions of New York State law. This provision shall not apply to an elected official who also holds a position as a teacher in a public school district or a professor at a public university or college.
- C. A political party officer may represent private interests before a County agency but he or she shall first disclose to the Board the nature and scope of the services to be provided.
- D. No political party officer or firm in which he or she holds an ownership interest shall have business dealings with the County, except that a political party officer or his or her firm may receive a contract from the County as a result of a competitive bidding process conducted in accordance with Article 5-A of the New York General Municipal Law.

§ 77-5. EXEMPTIONS.

**This article shall not prohibit:**

- A. An elected official from appearing without compensation before any County agency on behalf of constituents in the performance of his or her public duties and responsibilities.
- B. A public servant from accepting or receiving any County benefit which is provided for or made available to residents generally, or a substantial class of residents to which the public servant belongs.
- C. An elected official from proposing or voting on a measure that will provide a benefit to the elected official, if the benefit will be available to County residents generally or to a substantial class of residents to which the public servant belongs.
- D. A public servant or public servant's spouse from acting as an attorney, agent, broker, officer, director or consultant for any not-for-profit corporation or other entity which operates on a not-for-profit basis, which has business dealings with the County, provided that such public servant takes no direct or indirect part in such business dealings and that the public servant receives no salary or other compensation for such activities.
- E. A contract between the County and a public servant for instructing approved emergency medical services training service programs.
- F. A contract between the County and a public servant for the purpose of providing a foster home for a child under the care of the Suffolk County Department of Social Services, unless the public servant's official responsibilities include approving, authorizing or auditing foster care payments.
- G. An elected official from accepting an invitation to, and attending and participating in, an event sponsored by a community group or organization.

§ 77-6. POST-EMPLOYMENT RESTRICTIONS.

- A. No public servant shall solicit, negotiate for, or accept employment with any firm which is involved in business dealings with the County while such public servant is directly concerned with or personally participating in those business dealings on behalf of the County. This prohibition shall not apply to positions in the federal, state or any local government.

- B. No former public servant shall appear, within a two-year period after his or her separation from County service, before the County agency served by such public servant. This prohibition shall not apply to a former public servant who appears before a County agency on behalf of another government entity as an elected representative or employee.
- C. No person who has served as a public servant shall appear before the County, or receive compensation for any services rendered, in relation to any particular matter in which such person had participated personally and substantially as a public servant.
- D. No elected official shall appear before any agency in the branch of County government served by such elected official within a period of two years after such official's separation from County service. For the purposes of this section, the executive branch consists of all agencies of the County, except the County Legislature. This prohibition shall not apply to a former elected official who appears before a County agency on behalf of another governmental entity as an elected representative or employee.
- E. No public servant shall, after leaving County service, disclose or use for private advantage any confidential information gained from County service which is not otherwise available to the public; however, this shall not prohibit any former public servant from disclosing any information concerning conduct which the public servant knows or reasonably believes to involve waste, inefficiency, corruption, criminal conduct or conflict of interest.
- F. No elected official may resign prior to the completion of his or her term of office and be employed by the County in any other position for a period of two years after his or her resignation.
- G. No elected official may resign prior to the completion of his or her term of office and be employed with a certified employee organization which engages in collective bargaining negotiations with the County for a period of two years after his or her resignation.
- H. No elected official whose term of office has expired may accept employment with a certified employee organization which engages in collective bargaining negotiations with the County for a period of two years after the expiration of his or her term.
- I. Nothing contained in this section shall prohibit a former public servant from being associated with or having a position in a firm which appears before a County agency or from acting in a ministerial matter regarding business dealings with the County.

§ 77-7. RECUSAL AND DISCLOSURE.

- A. A public servant shall promptly recuse himself or herself from acting on any matter when acting on the matter, or failing to act on the matter, would constitute prohibited conduct under the Code of Ethics or would financially benefit the public servant, a person or firm associated with the public servant, a customer or client or any person from whom the public servant has received a gift, or any goods or services for less than market value in the preceding 12 months.
- B. Whenever a public servant is required to recuse himself or herself under the Code of Ethics, he or she shall:

  - (1) Promptly inform his or her immediate supervisor, if any;
  - (2) Promptly file with the Board a signed statement disclosing the nature and extent of the conflict; and
  - (3) Immediately refrain from participating further in the particular matter.

§ 77-8. DISCLOSURE INVOLVING COUNTY CONTRACTS.

- A. Where a public servant has, or acquires, an interest in any actual or proposed contract, purchase agreement, lease agreement or other agreement with the County, the public servant shall disclose the nature and extent of that interest in writing to his or her immediate supervisor and to the Board as soon as he or she has knowledge of the actual or prospective interest.
- B. For the purposes of this section, "interest" means a direct or indirect pecuniary or material benefit accruing to the public servant as a result of a contract with the County. A public servant shall be deemed to have an interest in the contract of:

  - (1) His or her spouse, except as to his or her spouse's employment agreement with the County;
  - (2) A firm, partnership, or association of which the public servant is a member or employee; and
  - (3) A corporation of which the public servant is an officer, director or employee.

§ 77-9. PENALTIES FOR OFFENSES.

- A. Upon a determination by the Board that a violation of § 77-1 or § 77-2 involving a contract, sale or other transaction has occurred, the County may elect to void the contract, sale or transaction in question.

§ 77-9.

PENALTIES FOR OFFENSES

- B. Upon a determination by the Board that a violation of § 77-2, 77-3, 77-7 or 77-8 of this article has occurred, the Board shall have the authority to impose fines up to \$10,000 and to recommend to the hiring authority suspension or removal of the public servant from office or employment.
- C. Any person who knowingly violates § 77-2, 77-3, 77-4, 77-6, 77-7 or 77-8 of this article shall be guilty of a misdemeanor and subject to a term of imprisonment not in excess of one year and/or a fine of \$1,000.

ARTICLE II. FINANCIAL DISCLOSURE

§ 77-10. PERSONS REQUIRED TO FILE FINANCIAL DISCLOSURE STATEMENT.

**Notwithstanding any other provision of law to the contrary, the following public servants and persons shall file with the Board the approved disclosure statement by May 15 of each year, unless a different date is provided below, answering each and every question contained in the statement:**

- A. Elected officials and chairpersons of County political party committees.
- B. Each person, who is not otherwise required to file a financial disclosure statement pursuant to this article, who has declared his or her intention to seek nomination or election and who has filed a petition for the Office of County Executive, District Attorney, Comptroller, Clerk, Treasurer, Sheriff or County Legislature, shall file such statement on or before the last day for filing his or her designating petitions.
- C. Each person, who is not otherwise required to file a financial disclosure statement pursuant to this article, who has been designated to fill a vacancy in a designation or nomination for the Office of County Executive, District Attorney, Comptroller, Clerk, Treasurer, Sheriff or County Legislature, shall file such statement within 15 days after a certificate designating such person to fill such vacancy is filed with the Board of Elections.
- D. Each department head, chief deputy department head and deputy department head.
- E. Each employee of the County Executive's Office and the County Legislature whose responsibilities include the independent exercise of managerial or

§ 77-10.

PERSONS REQUIRED TO FILE FINANCIAL DISCLOSURE STATEMENT

policy making functions, as annually determined by the appointing authority, subject to review by the Board.

- F. Each County employee, other than an employee of the County Executive's Office and the County Legislature, who holds a policymaking position as annually determined by the head of his or her agency, subject to review by the Board.
- G. Each County employee whose duties at any time during the preceding calendar year involved the negotiation, authorization or approval of leases, franchises, revocable consents, concessions, real estate licenses and contracts, including those involving the sale, rental, or lease of real property.
- H. Members appointed to the Suffolk County Planning Commission, the Board of the Suffolk County Off-Track Betting Corporation, the Suffolk County Industrial Development Agency, the Suffolk County Water Authority, and the Board of Trustees of the Department of Parks, Recreation and Conservation.

§ 77-11. PROCEDURES FOR FILING AND REVIEW OF FINANCIAL DISCLOSURE STATEMENTS.

- A. Each agency head shall determine by February 15 of each year, subject to review by the Board, which persons within the agency are required to submit a financial disclosure statement pursuant to the provisions § 77-10F and G, and shall inform such employees of their obligation to file the statement. All agency heads shall file with the Board, by March 1 each year, a list of persons within their agency obligated to file a financial disclosure statement.
- B. The County Executive and the Presiding Officer of the County Legislature shall determine by February 15 of each year, subject to review by the Board, which persons within their respective offices are required to submit a financial disclosure statement pursuant to the provisions of § 77-10E. The County Executive and the Presiding Officer shall file with the Board, by March 1 each year, a list of persons within their offices obligated to file a financial disclosure statement.
- C. The Board shall promulgate rules establishing procedures whereby a person required to file an annual financial disclosure statement may request an additional period of time within which to file such report, due to justifiable cause or undue hardship. However, in no case shall the Board's rules authorize the filing of a statement later than September 1 in any year.

§ 77-11. PROCEDURES FOR FILING AND REVIEW OF FINANCIAL DISCLOSURE STATEMENTS

- D. Any amendments and changes to a financial disclosure statement made after its filing shall be made on a separate form to be provided by the Board and attached to the statement.
- E. The Board may establish rules and procedures for the electronic filing of financial disclosure statements.

§ 77-12. CONTENT AND FORM OF STATEMENT

- A. The financial disclosure statement filed in any given year shall provide financial information for the preceding calendar year.
- B. The statement set forth in the Exhibit A, attached hereto and made a part of this Part 1, *Editor's Note: Exhibit A can be found in the Suffolk County Code on the Board of Ethics webpage.* shall be the approved financial disclosure statement for the County of Suffolk. Notwithstanding any other provision of law to the contrary, each person subject to financial disclosure requirements pursuant to § 77-10, shall file this approved financial disclosure statement, except that the members of the Suffolk County Planning Commission and the Suffolk County Parks Trustees shall complete the statement set forth in Exhibit B, which is attached hereto and made a part of this Part 1. *Editor's Note: Exhibit B can be found in the Suffolk County Code on the Board of Ethics webpage.*

§ 77-13. REVIEW OF STATEMENT

The Board or its staff will review each financial disclosure statement filed with it to determine if there has been compliance with this article governing financial disclosure.

§ 77-14. PUBLIC INSPECTION OF STATEMENTS

- A. Information filed in financial disclosure statements required by this article shall be maintained by the Board and shall be made available for public inspection, upon written request on such form as the Board shall prescribe. The Board shall respond to requests for inspection of financial disclosure statements in the order that they are received and within the time periods prescribed by New York's Freedom of Information Law.
- B. Any person required to file a statement may, at the time the statement is filed, submit a request to the Board, in such form as the Board shall require, to withhold any item disclosed therein on the ground that the inspection of such item by the public would constitute an unwarranted invasion of his or her



§ 77-14.

PUBLIC INSPECTION OF STATEMENTS

privacy or a risk to the safety or security of any person. The Board shall evaluate such request and any such item shall be withheld from public inspection upon a finding by the Board that the inspection of such item by the public would constitute an unwarranted invasion of privacy or a risk to the safety or security of any person. The Board shall provide a written notification of the Board's determination to the person who requested that information be withheld from public inspection in a timely manner, and shall not release the information subject to the request until at least 10 days after mailing such notification.

- C. Whenever the Board produces a financial disclosure statement for public inspection, the Board shall notify the person who filed the report of the production and of the identity of the person to whom such statement was produced.
- D. Categories of value shall be confidential and this information will be redacted by the Board before a financial disclosure statement is made available for public inspection.

§ 77-15. RETENTION OF RECORDS

Statements filed pursuant to this article and other records of the Board shall be retained and disposed of in accordance with the Records Retention and Disposal Schedule issued pursuant to Article 57-A of the New York Arts and Cultural Affairs Law.

§ 77-16. PENALTIES FOR OFFENSES

- A. Any person required to file a statement pursuant to this article who has not so filed at the end of one week after the required filing date shall be subject to a fine of not less than \$250 or more than \$1,000. In determining the amount of the fine, the Board shall consider factors, including, but not limited to, the person's failure in prior years to file a report in a timely manner, and the length of the delay in filing. The Board may waive a fine entirely if a person establishes that the failure to file a report in a timely manner was due to illness, injury or other hardship.
- B. If any County employee subject to financial disclosure requirements fails to file a statement as required by this article, the Board shall notify the employee's supervisor and the County Comptroller of such failure. Upon such notification, the Comptroller shall withhold the pay checks of said employee.
- C. Any intentional violation of this article, including but not limited to failure to file, failure to include assets or liabilities, and misstatement of assets or

liabilities, shall constitute a misdemeanor punishable by imprisonment for not more than one year or by a fine not to exceed \$1,000, or both, and shall constitute misconduct and be grounds for disciplinary action, including removal from employment in the manner provided by law.

## PART 2. TIME ACCOUNTING

### ARTICLE III. TIME ACCOUNTING BY COMMISSIONERS, DEPARTMENT HEADS AND DEPUTIES

#### § 77-17. LEGISLATIVE INTENT

- A. This Legislature hereby finds and determines that recent actions on the County's operating budget have required enormous sacrifice on the part of everyone, including County taxpayers and County employees.
- B. This Legislature also finds and determines that the fiscal difficulties currently confronting the County of Suffolk require full verifiable accounting of time by all commissioners, department heads, deputy commissioners or deputy department heads.
- C. Therefore, the purpose of this Part 2 is to require a full accounting and verification of all time sheets by commissioners, department heads, deputy commissioners and deputy department heads.

#### § 77-18. TIME SHEETS

- A. Each head or commissioner, as the case may be (except an elected head of a department), of a County department or agency, each chief deputy and each deputy thereof shall file a completed time sheet on a monthly basis as a precondition of receipt of compensation for such position of employment.
- B. The time sheets to be filed under Subsection A. of this section shall contain an accurate accounting of the number of hours of actual employment of said County officials and of any accruals arising thereunder.
- C. The time sheets required by this section shall be reviewed for compliance by the County Department of Audit and Control, or any successor department thereto, except that time sheets for the chief deputy or any deputy in the Comptroller's office shall be reviewed for compliance by the County Department of Human Resources, Personnel and Civil Service.  
**[Amended 9-15-2011 by L.L. No. 49-2011]**

§ 77-18.

TIME SHEETS

- D. Failure to comply with this section and to file such time sheets shall constitute a basis for denial of payment of County compensation to such individual who is in noncompliance.

§ 77-19. APPLICABILITY.

This Part 2 shall apply to all hours of employment occurring on or after the effective date of this Part 2.

FOR ADDITIONAL INFORMATION  
PLEASE CONTACT THE  
SUFFOLK COUNTY BOARD OF ETHICS  
335 YAPHANK AVENUE  
YAPHANK, NEW YORK 11980  
(631) 852-4038

OR VISIT THE BOARD'S WEBSITE AT  
[WWW.SUFFOLKCOUNTYNY.GOV](http://WWW.SUFFOLKCOUNTYNY.GOV)  
Select : Government – Board of Ethics

Appendix A

**FOR OFFICE USE ONLY:**

COMPLAINT NUMBER: \_\_\_\_\_ DATE RECEIVED: \_\_\_\_\_

EBCF-2013  
2 Page Form



## SUFFOLK COUNTY BOARD OF ETHICS

335 Yaphank Avenue, Yaphank, New York 11980 • Office 631.852.4038 • Fax 631.852.4041

### *EXAMPLE* Ethics Violation Complaint Form

#### Complainant's Information

Your Name: \_\_\_\_\_

Phone Number: \_\_\_\_\_

Fax Number: \_\_\_\_\_

Mailing Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

FOR OFFICE USE ONLY

(STAMP RECEIVED)

#### Alleged Violation

Who is the complaint against? : \_\_\_\_\_

What is your association or affiliation to the person (s) you are filing a complaint against? : \_\_\_\_\_  
\_\_\_\_\_

How is this person associated to Suffolk County?

"X" Box that applies (Required) :      COUNTY EMPLOYEE      ELECTED OFFICIAL

BOARD/COMMITTEE/COMMISSION/COUNCIL MEMBER

Date and Time Alleged Violation Occurred: \_\_\_\_\_

Location and Address: \_\_\_\_\_  
\_\_\_\_\_

Please explain your complaint fully, if insufficient space is provided additional sheets may be attached, providing a detailed description of the facts and the actions of the person (s) named on page 1 of this form. Include relevant dates and the names and addresses of persons whom you believe may be witnesses.

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Identify below any supporting documents, i.e. Emails, contracts, photographs, invoices, statements of witnesses, and audio/visual recordings. Attach all supporting documents to this form.

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Please read statement below, sign and date.

I, \_\_\_\_\_, hereby acknowledge that making a false statement herein is  
(Insert Your Name)  
punishable as a misdemeanor under section 210.45 of the New York State Penal Law.

Dated: \_\_\_\_\_

Complainant's Signature: \_\_\_\_\_

Printed Name: \_\_\_\_\_

**NOTICE:** It shall be unlawful for any person to make a complaint or threaten to make a complaint to the Board against a public servant, or to offer to withdraw a complaint against a public servant, in order to improperly influence that public servant's vote, opinion, judgment, action, decision or exercise of discretion as a public servant. Such conduct will constitute a violation punishable by a fine of not more than \$1,500, or imprisonment of not more than 15 days, or both.

Appendix B

**FOR OFFICE USE ONLY:**

AO REQUEST NUMBER: \_\_\_\_\_ DATE RECEIVED: \_\_\_\_\_

EBAO-2013  
1 Page Form



## SUFFOLK COUNTY BOARD OF ETHICS

335 Yaphank Avenue, Yaphank, New York 11980 • Office 631.852.4038 • Fax 631.852.4041

### *EXAMPLE* Advisory Opinion Request Form

#### Requestor's Information

Your Name: \_\_\_\_\_

Department/Agency/Committee: \_\_\_\_\_

Phone Number: \_\_\_\_\_

Fax Number: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

FOR OFFICE USE ONLY

(STAMP RECEIVED)

Detailed Description of Request (attach additional pages if necessary): \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Have you previously received an advisory opinion on this matter? : ☐ Yes ☐ No

Dated: \_\_\_\_\_

Requestor's Signature: \_\_\_\_\_

Printed Name: \_\_\_\_\_

Appendix C

EBRL-2013  
1 Page Form

**FOR OFFICE USE ONLY:**

RECUSAL NUMBER: \_\_\_\_\_ DATE RECEIVED: \_\_\_\_\_



## SUFFOLK COUNTY BOARD OF ETHICS

335 Yaphank Avenue, Yaphank, New York 11980 • Office 631.852.4038 • Fax 631.852.4041

### *EXAMPLE* Recusal Form

**Directions:**

Please complete the statement below, sign and file with the office of the Suffolk County Board of Ethics at 335 Yaphank Avenue, Yaphank, New York 11980.

**STATEMENT:**

**Pursuant to Suffolk County Code §77-7  
"Recusal and Disclosure."**

FOR OFFICE USE ONLY

(STAMP RECEIVED)

A. DESCRIPTION OF MATTER REQUIRING ACTION: \_\_\_\_\_

B. NATURE OF POTENTIAL CONFLICT: \_\_\_\_\_

C. I SHALL REQUEST THAT THE PRESIDING OFFICER EXCUSE ME FROM THE

VOTE ON \_\_\_\_\_ BECAUSE: \_\_\_\_\_

**Signed under the penalties of perjury:**

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Printed Name)

CERTIFICATION STATEMENT

Appendix D

**ATTENTION EMPLOYEE:** Please complete the statement below which shall be maintained in your personnel file.

**Certification Statement**

**Pursuant to Article XXX §A30-2 (D) of the Suffolk County Administrative Code**

I, \_\_\_\_\_, hereby certify that I have received a copy of Suffolk County's Code of Ethics Booklet and that I understand that I must abide by the conflict of interest rules contained therein during the time of my service with the County.

Signature: \_\_\_\_\_

Printed Name: \_\_\_\_\_

Date: \_\_\_\_\_



ALL  
SUFFOLK COUNTY BOARD OF ETHICS  
**FORMS AND PROCEDURES**  
ARE AVAILABLE TO BE DOWNLOADED  
FROM OUR WEBSITE.

VISIT US AT:  
**WWW.SUFFOLKCOUNTYNY.GOV**  
Select : Government – Board of Ethics

TO RECEIVE INFORMATION BY MAIL

WRITE US AT:  
**335 YAPHANK AVENUE**  
**YAPHANK, NEW YORK 11980**

OR YOU CAN CONTACT US

BY TELEPHONE AT:  
**(631) 852-4038**

# Exhibit 20

**SUFFOLK COUNTY BOARD OF ETHICS**



335 Yaphank Avenue  
Yaphank, New York 11980

**Resolution 007/2013**

**Dated February 27, 2013**

***2012 Annual Report Deadline Extension***

WHEREAS, the Suffolk County Board of Ethics wishes to acknowledge that the deadline for submitting an Annual Report is March 1st of each year pursuant to Article 30 of the Suffolk County Administrative Code § A30-9. "Annual Report."

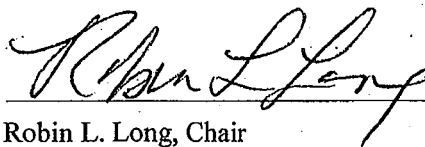
WHEREAS, pursuant to Article XXX of the Suffolk County Charter § C30-5. "Transition Provisions," the Suffolk County Board of Ethics wishes to extend the deadline for filing the 2012 Annual Report.

WHEREAS, the Suffolk County Board of Ethics hereby proposes that the deadline for submitting the 2012 Annual Report be extended to March 27, 2013.

Now, on a motion of Robin Long, seconded by Thomas Isles

Be It Resolved that the deadline for filing the 2012 Annual Report of the Suffolk County Board of Ethics is March 27, 2013.

Upon a vote being taken, the motion was approved. (4-0-0)

  
Robin L. Long, Chair